

**UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF FLORIDA
TALLAHASSEE DIVISION
CASE NO. 4:18cv529-MW/CAS**

MIKE FOX, et al.,
Plaintiffs,

versus

**KEN DETZNER, in his official capacity as
Florida Secretary of State, et al.,**
Defendants.

**NOTICE OF FILING EXHIBITS FOR MEMORANDUM IN
SUPPORT OF MOTION FOR PRELIMINARY
INJUNCTION (PLAINTIFFS' EXHIBITS 1-10)**

Plaintiffs submit Exhibits 1-10 to the Memorandum of Law Supporting
the Motion for Preliminary Injunction (DE32).

Respectfully submitted on December 26, 2018.

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CERTIFICATE OF SERVICE

I certify that on December 26, 2018, I electronically filed the foregoing document with the Clerk of the Court using CM/ECF. I also certify that the foregoing document is being served this day on all counsel of record identified on the CM/ECF and transmitted in accordance with CM/ECF requirements.

S/ Benedict P. Kuehne
BENEDICT P. KUEHNE

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FLORIDA RECOUNT - BROWARD COUNTY CANVASSING BOARD

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November 17, 2018

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OFFICE OF ELECTIONS
1501 NW 40th Avenue
Lauderhill, Florida 33315
1:00P.M. - 8:00P.M.

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2 MR. SAMUELS: Yes, thank you. Leonard
3 Samuels for the Democratic party. I agree with
4 what Mr. Davis said, and in particular, 102.112,
5 I refer to that statute, because there is no
6 authority in the statute that requires a
7 Canvassing Board of submitting complete or
8 inaccurate returns.

9 We now know that the accurate returns are
10 actually the ones from election night and the
11 machine count is minus 2,040 votes. And again,
12 it's been our position all along that we want all
13 lawful votes to count and that would
14 disenfranchise voters if, in fact, that's what
15 was sent up.

16 JUDGE BENSON: My concern, Mr. Samuels, is
17 if for some reason we are unable to certify, have
18 we just disenfranchised 714,859 voters at the
19 expense of 2000 voters. So we have many
20 questions to ask.

21 And we are happy to take your input, but we
22 are concerned about the ramifications of failing
23 to complete this task. We have all been here
24 night and day for a month trying to make sure
25 every valid vote counts. And if it comes to it,

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1 we want to make sure as many valid votes as
2 possible count, as opposed to none of them
3 counting.

4 So we are cognizant of these missing votes

5 but we also are very aware of our duty and we
6 want to carry it out as best as we can. And so
7 I'm happy to hear your comments, but I need to
8 defer to counsel and also to the technicians in
9 the back to find out how best we can accomplish
10 this task.

11 And we're not in a hurry. We are only in a
12 hurry because the State of Florida wants us to be
13 in a hurry, you know, we would stay here all
14 night and -- you know and continue to our
15 commitment to making sure this election has been
16 thoroughly vetted and reported and as long as we
17 need to, but we do have a deadline. Is that
18 correct, Counsel?

19 MR. MEYERS: We do have a deadline and we
20 also need to figure out what to do with --
21 potentially if those ballots are located, they
22 haven't gone through a machine recount and they
23 are not presently separated for potential hand
24 recount. So we just have a lot of questions.

25 And so we are happy to have additional

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1 information because it does shed some light on
2 it. Now we need to figure out what makes sense
3 given the deadlines and the unwillingness of this
4 Canvassing Board to risk disenfranchising all
5 714,000 voters.

6 MR. SAMUELS: And to be clear, that is the
7 last thing we want as well. I think it would be

8 important to preserve the ballot images at this
9 point in time, because they are in the machines,
10 and that is a record of precisely what happened.
11 So we would like to move that the Canvassing
12 Board instruct the Supervisor of Elections'
13 office to preserve all ballot images at this
14 time.

15 MR. MEYERS: Your Honor, may we -- because
16 we're -- we received some -- thank you, sir.

17 We have received some potentially different
18 information than that, and perhaps Dr. Snipes or
19 someone on her team could confirm, are these
20 images -- are there ballot images that are saved
21 on the machines.

22 DR. SNIPES: All the machines are capable of
23 holding ballot images. Sometimes they are
24 written over, but I would ask -- Craig is coming
25 back to help us with clarification.

5

1 MR. MEYERS: Are there -- there would be an
2 image -- if they were being saved and they were
3 not written over, there would be about
4 3.5 million.

5 MR. MENDENHALL: All the images were not
6 saved, even though we have the option to do that.
7 We only save the write-in images, the ballots
8 that included write-ins.

9 MR. MEYERS: Okay.

10 MR. MENDENHALL: There's a clear ballot

11 system that --

12 JUDGE BENSON: You mean any ballot where a
13 candidate -- somebody wrote in, like we've seen
14 Mickey Mouse written in.

15 MR. MENDENHALL: Only if they bubbled in
16 next to the write-in.

17 JUDGE BENSON: That's what you mean by
18 write-in?

19 MR. MENDENHALL: Correct.

20 MR. MEYERS: Okay. Thank you.

21 JUDGE CARPENTER-TOYE: Okay.

22 MR. SAMUELS: Can I ask that the hard drives
23 be preserved then, because I think that would be
24 important under these circumstances.

25 JUDGE BENSON: I don't know if we have -- do

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1 we have jurisdiction to direct the Supervisor of
2 Elections to save the hard drives?

3 MR. MYERS: I'm not frankly sure what is
4 within or outside the jurisdiction of the
5 Canvassing Board, but certainly it would be
6 appropriate for the Canvassing Board to request
7 that all available --

8 JUDGE CARPENTER-TOYE: I make a motion that
9 any and all records of any kind, whether they are
10 hard drives, paper drives, jump drives, any kind
11 of drives, be preserved by the Supervisor of
12 Elections, that no document, no drives, no disk,
13 no anything electronic that involves this

14 election whatsoever be removed from this building
15 or from any of the machines as they are currently
16 remain intact. That's my motion before --

17 MR. SAMUELS: Or written over or anything.

18 JUDGE CARPENTER-TOYE: Yes.

19 MR. LABRADOR: I'll second that.

20 JUDGE BENSON: All in favor?

21 THE BOARD: Aye.

22 JUDGE BENSON: So moved. We would direct
23 the Supervisor of Elections to save any and all
24 of the data that we have outlined pending -- save
25 it.

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1 JUDGE CARPENTER-TOYE: Thank you.

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1 CERTIFICATE OF COURT REPORTER

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3 STATE OF FLORIDA :

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5 COUNTY OF BROWARD :

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8 I, STACIE APPEL-CLAIR, a Court Reporter in and
9 for the State of Florida at Large, do hereby certify
10 that I was authorized to and did report the proceedings
11 in the above-styled cause before the CANVASSING BOARD,
12 at the time and place set forth; that the foregoing
13 constitute a true and complete record of my notes.

14 I further certify that I am not an attorney or
15 counsel of any of the parties, not related to any of the
16 parties, nor financially interested in the actions.

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18 Dated this 17th day of November, 2018.

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STACIE APPEL-CLAIR
COURT REPORTER

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State of Florida

GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS



EFFECTIVE: FEBRUARY 19, 2015

R. 1B-24.003(1)(c), *Florida Administrative Code*

Florida Department of State
Division of Library and Information Services

Tallahassee, Florida

850.245.6750

<http://dos.myflorida.com/library-archives/records-management/>

FLORIDA DEPARTMENT OF STATE
GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS

GENERAL RECORDS SCHEDULE GENERAL INFORMATION AND INSTRUCTIONS

FOREWORD

The **general records schedules** established by the Department of State are intended for use by state, county, city, and special district public records custodians. If you are unsure of your organization's status as a public agency, consult your legal counsel and/or the Florida Attorney General's Office for a legal opinion. The Department of State publishes the following general records schedules:

GS1-SL	State and Local Government Agencies
GS2	Law Enforcement, Correctional Facilities, and District Medical Examiners
GS3	Election Records
GS4	Public Hospitals, Health Care Facilities and Medical Providers
GS5	Public Universities and Colleges
GS7	Public Schools Pre-K-12 and Adult and Career Education
GS8	Fire Departments
GS9	State Attorneys
GS10	Public Defenders
GS11	Clerks of Court
GS12	Property Appraisers
GS13	Tax Collectors
GS14	Public Utilities
GS15	Public Libraries

All Florida public agencies are eligible to use the GS1-SL, which provides retention periods for the most common administrative records such as routine correspondence as well as personnel, payroll, financial and legal records. General records schedules GS2 through GS15 are applicable to program records of specific functional areas, such as elections administration, tax collecting, or law enforcement, each of which has unique program responsibilities and thus unique records retention requirements. The GS2 through GS15 should be used in conjunction with the GS1-SL to cover as many administrative and program records as possible. **The GS3 General Records Schedule for Election Records** covers records that document activities related to **voter registration and/or election of public officials in Florida**, including records created and/or maintained by **County Supervisors of Elections, municipal elections officers, and voter registration agencies**.

The retention periods set forth in the general records schedules are based on federal and state laws and regulations, general administrative practices, and fiscal management principles. Please note that these are *minimum* retention periods; public agencies may retain their records longer at their discretion. In fact, certain accreditation committees may have standards that require longer retention periods. Contact your accrediting organization for more information on their requirements. In addition, federal, state or local laws and regulations regarding recordkeeping and records retention for specific agencies or specific types of records might require a longer retention than indicated in this general schedule. Agencies should be aware of all laws and regulations relating to their records and recordkeeping requirements. However, remember that a public agency is *not* permitted to *reduce* the retention periods stated in a general records schedule.

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For additional information on records retention and disposition, please refer to *The Basics of Records Management* handbook, which, along with all Florida general records schedules, is available on the Department of State's *Services for Records Managers* website at:

<http://dos.myflorida.com/library-archives/records-management/>.

To obtain an individual printed copy or electronic copy, fax your request to 850.245.6795, Attention: Receptionist; contact the Records Management Program at 850.245.6750; or email recmgt@dos.state.fl.us.

FLORIDA DEPARTMENT OF STATE
GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS

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I. STATUTORY AUTHORITY

This general records schedule is issued by the Department of State, Division of Library and Information Services, in accordance with the statutory provisions of Chapters 119 and 257, *Florida Statutes*.

Chapter 119, *Florida Statutes*, defines the terms “public records,” “custodian of public records,” and “agency,” as well as the fundamental process by which disposition of said records is authorized under law.

Chapter 257, *Florida Statutes*, establishes the Florida State Archives and Records Management Program under the direction of the Division of Library and Information Services, Department of State, and specifically provides for a system for the scheduling and disposition of public records. Chapter 257 also authorizes the Division to establish and coordinate standards, procedures and techniques for efficient and economical record making and keeping, and requires all agencies to appoint a Records Management Liaison Officer (RMLO).

II. DETERMINING RETENTION REQUIREMENTS

In determining public records retention requirements, four values must be considered to ensure that the records will fulfill their reason for creation and maintenance: administrative, legal, fiscal and historical. These four values have been evaluated in depth to determine the retention requirements of the records listed in this general records schedule.

There are two particular financial factors that may impact the retention period of an agency's records:

- A. Audits - Audits are the means by which independent auditors examine and express an opinion on financial statements and, as applicable, report on public agencies' compliance with laws, regulations and internal controls. Audit requirements for state financial assistance provided by State of Florida agencies to nonstate entities are established by the Florida Single Audit Act, Section 215.97, *Florida Statutes*.

There are various types of audits. Performance audits examine the economy and efficiency and/or effectiveness of applicable programs, activities or functions. Financial audits include (1) an examination of financial statements in order to express an opinion on the fairness with which they present financial position, results of operations, and changes in financial position in conformity with generally accepted accounting principles; (2) an examination to determine whether operations are properly conducted in accordance with legal and regulatory requirements; and (3) an examination of any additional financial information necessary to comply with generally accepted accounting principles. As applicable, the scope of the financial audit shall include any additional auditing activities necessary to comply with the term “financial audit” as defined and used in *Government Auditing Standards*, as amended. Also as applicable, the scope of a financial audit shall encompass the additional activities necessary to establish compliance with the Single Audit Act Amendments of 1996, Public Law 104-156 (31 USCA ss. 7501 to 7507); United States Office of Management and Budget (OMB) Circular A-133; and other applicable federal law.

The Records Management Program does not track or maintain information on which audits apply to which records in which agencies. Retention schedules are written to alert agencies that certain records *might* be required for audit purposes. Different agencies are subject to different types of audits at different times, and each agency is responsible for knowing what audits might be conducted and retaining needed records for that purpose. For instance, some agencies might be subject to the Federal Single Audit, while

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others are not. In general, any records relating to finances or financial transactions might be subject to audit.

Audits may be conducted by the Florida Auditor General, independent public accountants, or other state or federal auditors, as well as grant funding agencies and national or statewide professional accreditation or certification groups. Your finance office, your legal office, and the Auditor General's Office are good sources of information as to which specific records of your agency should be retained for audit purposes.

- B. Grants - Any public agency receiving local, state or federal grant money will need to be familiar with grantor-agency requirements.

III. SCHEDULING AND DISPOSITION OF PUBLIC RECORDS

The procedures for scheduling and disposition of public records, applicable to all public agencies, consist of two separate but related actions:

- A. Establishing a Records Retention Schedule - A retention schedule describing the records and setting the minimum retention period is required for each record series. A record series, as defined in Rule 1B-24, *Florida Administrative Code*, is "a group of related public records arranged under a single filing arrangement or kept together as a unit (physically or intellectually) because they consist of the same form, relate to the same subject or function, result from the same activity, document a specific type of transaction, or have some other relationship arising from their creation, receipt, or use." Examples of series that agencies might maintain are Personnel Files, Client Case Files, Project Research Files, Equipment Maintenance and Repair Records, or Procurement Files. Each record series might contain records in a variety of forms and formats that collectively document a particular program, function, or activity of the agency. The records retention schedule establishes officially the **minimum** length of time that the record series must be retained.
 - 1. **General records schedules** establish retention requirements for records documenting administrative and program functions common to several or all government agencies, such as personnel, accounting, purchasing, and general administration. General records schedules can cover up to 75-80 percent of an agency's record series. The *General Records Schedule GS1-SL for State and Local Government Agencies* can be used by all state and local agencies in determining their records retention requirements.

Certain agencies can use other general records schedules in conjunction with the GS1-SL. General records schedules have been established for program records of specific functional areas. For example, the *GS5 for Public Universities and Colleges* establishes retention requirements for program records unique to the functions and activities of those types of institutions; the *GS9 for State Attorneys* establishes retention requirements for program records unique to State Attorneys' offices; and the *GS12 for Property Appraisers* establishes retention requirements for program records unique to Property Appraisers' offices. Please contact the Records Management Program to verify which general records schedules are appropriate for use by your agency.

If a similar record series is listed in two general record schedules, the retention requirements contained in the program schedule shall take precedence. For instance, if a record series is listed in both the GS1-SL and the GS3, elections offices should abide by the retention requirements cited in the GS3.

REMEMBER: The retention period stated in the applicable schedule is the **minimum** time a record must be maintained. If two or more record series are

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filed together, the combined file must be retained through the longest retention period of those records.

2. **Individual records schedules** establish retention requirements for records that are unique to particular agencies. These schedules are used for the 20-25 percent of an agency's records that are not in a general schedule. To establish an individual records schedule, an agency must submit a Request for Records Retention Schedule, Form LS5E105REff.2-09, to the Records Management Program for review and approval. This "105" form is available on the Records Management website at:

<http://dos.myflorida.com/library-archives/records-management/forms-and-publications/>.

Records become eligible for disposition action once they have met the retention requirements specified in an established retention schedule and any other applicable requirements (e.g., litigation). The individual schedule remains effective until there is a change in series content or until other factors are introduced that would affect the retention period, at which time a new individual records retention schedule should be submitted for approval. If a new general records schedule is later established that requires an equal or longer retention period for the same records, that general records schedule supersedes the individual records schedule.

- B. Final Disposition of Public Records - Section 257.36(6), *Florida Statutes*, states that, "A public record may be destroyed or otherwise disposed of only in accordance with retention schedules established by the division." This means that all records, regardless of access provisions, must be scheduled before disposition can occur (see Sections 119.07-119.0714, *Florida Statutes*, regarding access provisions). Agencies must identify an appropriate general records schedule or individual records schedule for any records being disposed of. If a retention schedule for the records does not exist, then one must be established by following the procedures listed above for "Establishing a Records Retention Schedule."

Records Disposition Documentation - Agencies must maintain internal documentation of records disposition including retention schedule number, retention schedule item number, records series title, inclusive dates, volume (in cubic feet) of paper records destroyed, and disposition action (manner of disposition) and date. A form titled *Records Disposition Document*, which is recommended for use in documenting records disposition, is available on the Records Management website at [http:// dos.myflorida.com/library-archives/records-management/forms-and-publications/](http://dos.myflorida.com/library-archives/records-management/forms-and-publications/). Agencies must maintain this documentation as a permanent record, but should **not** submit it to the Records Management Program for review or approval.

IV. ARCHIVAL VALUE

- A. **State Agencies** - The State Archives of Florida will analyze record series to identify records having enduring historic, administrative, or fiscal value that may be eligible for permanent preservation. If a record series description states, "**These records may have archival value**," the state agency must contact the State Archives of Florida for archival review before disposition of the records. The RMLO or other agency representative should contact the Archives by telephone at 850.245.6750 or by email at recmgt@dos.state.fl.us. The Archives will provide guidance for the transfer of the records to the State Archives or other appropriate disposition of the records. For records indicating both a **Permanent** retention **and** possible archival value, agencies should

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contact the State Archives after five years for archival review and guidance as to whether, when, and how to transfer the records to the Archives.

- B. **All Other Agencies** - When preparing to dispose of records that have met their required retention, carefully consider the potential historical research value of those records. Some records that do not have a permanent retention still might have enduring value to your community as evidence of the interactions between government and citizens and as sources of information about local government, society, and culture. For your convenience, we have indicated that "**These records may have archival value**" for series that are most likely to have such historical or archival value. Not all such records will be determined to be archival; conversely, some records without this statement in the series description might have archival value. Records of historical value to your community should be preserved locally for the benefit of historians and other researchers. Technical assistance in determining archival value is available from State Archives staff at 850.245.6750.

V. **ELECTRONIC RECORDS**

Records retention schedules apply to records regardless of their physical format. Therefore, records created or maintained in electronic format must be retained in accordance with the minimum retention requirements presented in these schedules, whether the electronic records are the record copy or duplicates. Printouts of standard correspondence in text or word processing files are acceptable in place of the electronic files. Printouts of electronic communications (email, instant messaging, text messaging, multimedia messaging, chat messaging, social networking, or any other current or future electronic messaging technology or device) are acceptable in place of the electronic files, provided that the printed version contains all date/time stamps and routing information. However, in the event that an agency is involved in or can reasonably anticipate litigation on a particular issue, the agency must maintain in native format any and all related and legally discoverable electronic files.

VI. **FACTORS THAT MAY INFLUENCE THE DISPOSITION OF RECORDS**

- A. **Litigation** - When a public agency has been notified that a potential cause of action is pending or underway, that agency should **immediately** place a hold on disposition of **any and all** records related to that cause. Your agency's legal counsel should inform your Records Management Liaison Officer when that hold can be lifted and when the records are again eligible for disposition.
- B. **Public Records Requests** - According to Section 119.07(1)(h), *Florida Statutes*, the custodian of a public record may not dispose of a record "for a period of 30 days after the date on which a written request to inspect or copy the record was served on or otherwise made to the custodian of public records by the person seeking access to the record. If a civil action is instituted within the 30-day period to enforce the provisions of this section with respect to the requested record, the custodian of public records may not dispose of the record except by order of a court of competent jurisdiction after notice to all affected parties."
- C. **Accreditation Standards** - Some public agencies receive national or statewide accreditation or certification by professional societies, organizations, and associations. Examples may include the Joint Commission on the Accreditation of Healthcare Organizations, the Commission on Accreditation for Law Enforcement Agencies, and the Commission on Office Laboratory Accreditation. In an effort to enhance the professionalism of their members, these groups may place heavier burdens on public agencies than those that are mandated under state or federal law. Agencies may therefore choose to maintain their records for a longer period of time than required by

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established records retention schedules in order to meet accreditation standards. However, records cannot be disposed of before the minimum retention period dictated by the records retention schedules, even if the accrediting organization requires a shorter retention period.

- D. Records in Support of Financial or Performance Audits - These records should be retained in accordance with the following guidelines provided by the Florida Office of the Auditor General:

Records must be retained for **at least** three fiscal years (most financial records must be retained for a minimum of five fiscal years in accordance with guidelines of the Department of Financial Services and the Office of the Auditor General). **If subject to the Federal Single Audit (pursuant to 31 USC, Section 7502, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, Subpart E) or other federal audit or reporting requirements, records must be maintained for the longer of the stated retention period or three years after the release date of the applicable Federal Single Audit or completion of other federal audit or reporting requirements.** Finally, if any other audit, litigation, claim, negotiation, or other action involving the records has been started before the expiration of the retention period and the disposition of the records, the records must be retained until completion of the action and resolution of all issues which arise from it. However, in no case can such records be disposed of before the three fiscal year minimum.

- E. Federal, state, or local laws and regulations regarding recordkeeping and records retention for specific agencies or specific types of records might require a longer retention than indicated in this general schedule. Agencies should be aware of all laws and regulations relating to their records and recordkeeping requirements.

VII. RECORDS MANAGEMENT STANDARDS AND REQUIREMENTS

Unless otherwise prohibited by law or rule, the record copy may be reformatted to microfilm or electronic form as long as the requirements of Rule 1B-26.003 or 1B-26.0021, *Florida Administrative Code*, are met.

- A. Electronic Recordkeeping is defined in Rule 1B-26.003, *Florida Administrative Code*, which provides standards and guidelines for creation and maintenance of record (master) copies of public records in electronic form. Public records are those as defined by Section 119.011(12), *Florida Statutes*.
- B. Microfilm Standards are defined in Rule 1B-26.0021, *Florida Administrative Code*, which provides standards for microfilming of public records to ensure that the film, photography methods, processing, handling, and storage are in accordance with methods, procedures, and specifications designed to protect and preserve such records on microfilm.

VIII. RECORDS VOLUME CONVERSION TO CUBIC FOOT MEASUREMENTS

Cassette Tapes (200)	1.0 cubic foot
Letter-size, drawer or box	1.5 cubic feet
Legal-size, drawer or box	2.0 cubic feet
Letter-size, 36-inch shelf	2.0 cubic feet
Legal-size, 36-inch shelf	2.5 cubic feet
Magnetic Tapes (12)	1.0 cubic foot
3 x 5 card, 10 12-inch rows	1.0 cubic foot
3 x 5 card, five 25-inch rows	1.0 cubic foot
4 x 6 card, six 12-inch rows	1.0 cubic foot
5 x 8 card, four 12-inch rows	1.0 cubic foot

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16mm microfilm, 100 rolls	1.0 cubic foot
35mm microfilm, 50 rolls	1.0 cubic foot
(One roll of microfilm contains approximately 1.0 cubic foot of records.)	

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RECORDS RETENTION SCHEDULES

ABSENTEE BALLOT ENVELOPES AND CERTIFICATES: FEDERAL ELECTIONS

Item #135

This record series documents voting by absentee ballot. The series includes: 1) envelopes with the voter's certificate that is signed by the elector pursuant to Section 101.64, *Florida Statutes*, Delivery of absentee ballots; 2) envelopes marked as "refused or unable to vote," cancelled, or rejected as illegal; and 3) voter's certificate signed by the elector who registered to vote by mail who has not previously voted in the county and who has not provided the identification or certification required by Section 97.0535 by the time the absentee ballot is mailed. This series may also include voters' certificates signed by electors voting "in office," created prior to July 1, 2004, pursuant to now obsolete language in Section 101.657, *Florida Statutes*, which read in part, "Any qualified and registered elector may pick up and vote an absentee ballot in person at the office of, and under the supervision of, the supervisor of elections . . . The elector must provide identification as required in subsection (1) and must complete an In-Office Voter Certificate . . ." The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

ABSENTEE BALLOT ENVELOPES AND CERTIFICATES: STATE AND LOCAL ELECTIONS

Item #136

This record series documents voting by absentee ballot. The series includes: 1) envelopes with the voter's certificate that is signed by the elector pursuant to Section 101.64, *Florida Statutes*, Delivery of absentee ballots; 2) envelopes marked as "refused or unable to vote," cancelled, or rejected as illegal; and 3) voter's certificate signed by the elector who registered to vote by mail who has not previously voted in the county and who has not provided the identification or certification required by Section 97.0535 by the time the absentee ballot is mailed. This series may also include voters' certificates signed by electors voting "in office," created prior to July 1, 2004, pursuant to now obsolete language in Section 101.657, *Florida Statutes*, which read in part, "Any qualified and registered elector may pick up and vote an absentee ballot in person at the office of, and under the supervision of, the supervisor of elections . . . The elector must provide identification as required in subsection (1) and must complete an In-Office Voter Certificate . . ."

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

ABSENTEE BALLOT REQUEST FILE REPORTS

Item #137

This record series consists of absentee ballot request information compiled and made available to the Division of Elections daily during an election cycle. These records are created pursuant to Section 101.62(3), *Florida Statutes*, Request for absentee ballots. The series also includes requests for the information from parties authorized by Section 101.62(3), *Florida Statutes*, to receive otherwise confidential and exempt information.

RETENTION:

- a) Record copy: 3 months after certification of election.
- b) Duplicates: Retain until obsolete, superseded, or administrative value is lost.

ABSENTEE BALLOT REQUESTS: FEDERAL ELECTIONS

Item #111

This record series consists of requests for absentee ballots, regardless of format, pursuant to Section 101.62, *Florida Statutes*, Request for absentee ballots. This series also consists of requests for state write-in absentee ballots from overseas voters pursuant to Section 101.6951, *Florida Statutes*, State write-in ballot. Records include communications to and from the voter and information or documentation for the purpose of processing an absentee ballot request including the status of a mailed or returned absentee ballot. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of the last election to which the absentee ballot request applies.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

ABSENTEE BALLOT REQUESTS: STATE AND LOCAL ELECTIONS

Item #112

This record series consists of requests for absentee ballots, regardless of format, pursuant to Section 101.62, *Florida Statutes*, Request for absentee ballots. This series also consists of requests for state write-in absentee ballots from overseas voters pursuant to Section 101.6951, *Florida Statutes*, State write-in ballot. Records include communications to and from the voter and information or documentation for the purpose of processing an absentee ballot request including the status of a mailed or returned absentee ballot.

RETENTION:

- a) Record copy. 1 anniversary year after certification of the last election to which the absentee ballot request applies.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

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AFFIDAVITS/AFFIRMATIONS: EXECUTED AT EARLY VOTING SITES OR AT THE POLLS: FEDERAL ELECTIONS

Item #1

This record series consists of affidavits/affirmations executed by the voter at early voting sites or at the polls to affirm eligibility to vote or to seek help at polls in an election for federal office. The series includes affidavits or affirmations executed when elector's identification signature differs from signature on register or poll book, per Section 101.49, *Florida Statutes*, Procedure of election officers where signatures differ; or when elector is requesting assistance to vote at the polls per Section 101.051, *Florida Statutes*, Electors seeking assistance in casting ballots. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. **Absentee Affidavit formerly required by Section 101.69, *Florida Statutes*, is no longer accumulating effective January 1, 2002.** See also "VOTER REGISTRATION: CHANGE OF NAME, PARTY, SIGNATURE, OR RESIDENCE RECORDS."

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

AFFIDAVITS/AFFIRMATIONS: EXECUTED AT EARLY VOTING SITES OR AT THE POLLS: STATE AND LOCAL ELECTIONS

Item #2

This record series consists of affidavits/affirmations executed by the voter at early voting sites or at the polls to affirm eligibility to vote or to seek help at polls in an election for state and local office. The series includes affidavits or affirmations executed when elector's identification signature differs from signature on register or poll book, per Section 101.49, *Florida Statutes*, Procedure of election officers where signatures differ; or when elector is requesting assistance to vote at the polls per Section 101.051, *Florida Statutes*, Electors seeking assistance in casting ballots. **Absentee Affidavit formerly required by Section 101.69, *Florida Statutes*, is no longer accumulating effective January 1, 2002.** See also "VOTER REGISTRATION: CHANGE OF NAME, PARTY, SIGNATURE, OR RESIDENCE RECORDS."

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

APPLICATIONS: ABSENTEE BALLOT/REGISTRATION (FEDERAL POSTCARD APPLICATIONS)

Item #5

This record series consists of applications and accompanying transmittal letters/forms and certifications from members of the armed forces, federal personnel, and other overseas electors for absentee ballots. The retention applies to those forms used only for the purpose of requesting absentee ballots. **Those forms that are also used as voter registration forms must be maintained in accordance with the retention schedule for VOTER REGISTRATION: BOOKS AND OFFICIAL RECORDS.** These records are created pursuant to Section 101.694, *Florida Statutes*, Mailing of ballots upon receipt of federal postcard application (formerly Section 97.064, *Florida Statutes*). The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. See also "VOTER REGISTRATION: BOOKS AND OFFICIAL RECORDS."

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

APPLICATIONS: REPLACEMENT OF VOTER INFORMATION CARD

Item #8

This record series consists of requests by qualified voters for replacement of lost, stolen, destroyed, or mutilated voter information cards. These records are created pursuant to Section 97.071(2), *Florida Statutes*, Voter information card (formerly Section 97.072, *Florida Statutes*); and Section 97.052(1)(a), *Florida Statutes*, Uniform Statewide Voter Registration Application. If a voter registration application form is used, the retention applies only if the form is used solely to request a replacement card. **If the form is also used to update a voter registration record, then the record must be maintained in accordance with the retention schedule for VOTER REGISTRATION: BOOKS AND OFFICIAL RECORDS.** See also "VOTER REGISTRATION: CHANGE OF NAME, PARTY, SIGNATURE, OR RESIDENCE RECORDS."

RETENTION:

- a) Record copy. Retain until obsolete, superseded, or administrative value is lost.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BALLOT DESIGN: REQUESTS TO DEVIATE FROM UNIFORM DESIGN: FEDERAL ELECTION

Item #165

This record series consists of requests submitted to and approved or denied by the Department of State to deviate from the regulations for uniform ballot design. These records are created pursuant to Rule 1S-2.032, *Florida Administrative Code*, Uniform Primary and General Election Ballot.

RETENTION:

- a) Record copy. 22 months after certification of the affected election or 22 months after certification of the last election of the calendar year, whichever is applicable to the request.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

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BALLOT DESIGN: REQUESTS TO DEVIATE FROM UNIFORM DESIGN: STATE AND LOCAL ELECTIONS

Item #166

This record series consists of requests submitted to and approved or denied by the Department of State to deviate from the regulations for uniform ballot design. These records are created pursuant to Rule 1S-2.032, *Florida Administrative Code*, Uniform Primary and General Election Ballot.

RETENTION:

- a) Record copy. 1 anniversary year after certification of the affected election or 1 anniversary year after certification of the last election of the calendar year, whichever is applicable to the request.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BALLOT IMAGE FILES

Item #113

This record series contains records of the content of each ballot cast on an electronic voting system. To protect voter privacy, the stored files are randomly sorted so that the ballots cannot be matched to the voting system transaction logs. Electronic media such as memory card chips can be cleared for next election provided ballot image files are printed out and retained in accordance with retention schedule. The retention period is based on Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BALLOT INSPECTION CERTIFICATION: FEDERAL ELECTIONS

Item #138

This record series consists of certification by election board that it compared and found the ballots in voting devices to match the sample ballot forms pursuant to Section 101.5610, *Florida Statutes*, Inspection of ballot by election board. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BALLOT INSPECTION CERTIFICATION: STATE AND LOCAL ELECTIONS

Item #139

This record series consists of certification by election board that it compared and found the ballots in voting devices to match the sample ballot forms pursuant to Section 101.5610, *Florida Statutes*, Inspection of ballot by election board.

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BALLOT-ON-DEMAND REQUEST RECORDS

Item #140

This record series consists of ballot-on-demand requests submitted to and approved by the Secretary of State in accordance with Section 101.151(1)(b), *Florida Statutes*, Specifications for ballots, which states in part, "Not later than 30 days before an election, the Secretary of State may also authorize in writing the use of ballot-on-demand technology for the production of election-day ballots." The request can be for a single election or for all elections during a calendar year.

RETENTION:

- a) Record copy. 22 months after the affected election or 22 months after the last election of the calendar year, whichever is applicable to the request.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BALLOT STUBS: FEDERAL ELECTIONS

Item #114

This record series consists of numbered stubs that are removed from the ballot at the time the ballot is issued to the voter. The ballot stubs are then used at the close of the polls for ballot accounting purposes. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. See also "VOTER AUTHORIZATION SLIPS/STUBS: FEDERAL ELECTIONS."

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BALLOT STUBS: STATE AND LOCAL ELECTIONS

Item #115

This record series consists of numbered stubs that are removed from the ballot at the time the ballot is issued to the voter. The ballot stubs are then used at the close of the polls for ballot accounting purposes. See also "VOTER AUTHORIZATION SLIPS/STUBS: STATE AND LOCAL ELECTIONS."

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.

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b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BALLOTS, OFFICIAL: FEDERAL ELECTIONS**Item #11**

This record series consists of voted ballots, including absentee ballots, ballots cast at the polls or at early voting, provisional ballots, and ballots cast at assisted living facilities or nursing homes per Section 101.655, *Florida Statutes*, Supervised voting by absent electors in certain facilities. This series also includes overvoted, undervoted, spoiled, duplicated, cancelled, or rejected ballots, and test ballots created pursuant to Section 101.151, *Florida Statutes*, Specifications for ballots. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BALLOTS, OFFICIAL: STATE AND LOCAL ELECTIONS**Item #10**

This record series consists of voted ballots, including absentee ballots, ballots cast at the polls or at early voting, provisional ballots, mail ballots cast in mail ballot elections, and ballots cast at assisted living facilities or nursing homes per Section 101.655, *Florida Statutes*, Supervised voting by absent electors in certain facilities. This series also includes overvoted, undervoted, spoiled, duplicated, cancelled, or rejected ballots, and test ballots created pursuant to Section 101.151, *Florida Statutes*, Specifications for ballots.

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BOOK CLOSING STATISTICS: FEDERAL ELECTIONS**Item #141**

This record series consists of statistical data relating to the total number of active registered voters by book closing (last day to register before an election). This information includes total number of registered voters by party, race, etc. for the county and for each legislative and congressional district. Some Supervisors of Elections offices may no longer be accumulating these records following the 2005 repeal of Section 98.231, *Florida Statutes*, which required Supervisors to generate book closing statistics and forward them to the Department of State. Retention is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. ***These records may have archival value.***

RETENTION:

- a) Record copy. 22 months after certification of election. ***Agencies should ensure appropriate preservation of records determined to have long-term historical value.***
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

BOOK CLOSING STATISTICS: STATE AND LOCAL ELECTIONS**Item #142**

This record series consists of statistical data relating to the total number of active registered voters by book closing (last day to register before an election). This information includes total number of registered voters by party, race, etc. for the county and for each legislative and congressional district. Some Supervisors of Elections offices may no longer be accumulating these records for federal, state, multicounty, legislative, and congressional district elections following the 2005 repeal of Section 98.231, *Florida Statutes*, which required Supervisors to generate book closing statistics and forward them to the Department of State. ***These records may have archival value.***

RETENTION:

- a) Record copy. 1 anniversary year after certification of election. ***Agencies should ensure appropriate preservation of records determined to have long-term historical value.***
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/COMMITTEES/PARTIES**Item #143**

This record series documents the registration, qualification, and financial activities relating to candidates, committees, and parties. The series includes candidates' qualifying records created pursuant to Chapter 99, *Florida Statutes*, Candidates, or Chapter 105, *Florida Statutes*, Nonpartisan elections, including oaths, resign-to-run submissions, candidate petition certifications or notifications, and financial disclosure statements, regardless of whether qualifying is by fee or by petition method. Records documenting financial activities include treasurers' reports, correspondence, and supporting documents for candidates, committees, and parties, as well as independent expenditure reports filed pursuant to Section 106.071, *Florida Statutes*, Independent expenditures; electioneering communications; reports; disclaimers. Records documenting registration include the Statement of Organization and Appointment of Campaign Treasurer for political committees created pursuant to Section 106.03, *Florida Statutes*, Registration of political committees. Records documenting the organization and operation of committees of continuous existence pursuant to Section 106.04, *Florida Statutes*, Committees of continuous existence, include committee applications, the certification or denial of application for committee status, annual reports, and finance reports. The retention period is based on Section 98.015(5), *Florida Statutes*, Supervisor of elections . . . duties, which reads, "The supervisor shall preserve statements and other information required to be filed with the supervisor's office pursuant to chapter 106 for a period of 10 years from date of receipt." See also

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“PETITION RECORDS: BALLOTTED ISSUES (CONSTITUTIONAL AMENDMENTS),” “PETITION SIGNATURE RECORDS FOR CANDIDATES FOR FEDERAL OFFICE” and “PETITION SIGNATURE RECORDS FOR CANDIDATES FOR STATE AND LOCAL OFFICE.”

RETENTION:

- a) Record copy. 10 anniversary years after receipt.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

CONDUCT OF ELECTION REPORTING RECORDS

Item #144

This record series consists of copies of reports and any amended reports on the conduct of an election filed with the Division of Elections by the county canvassing board or the supervisor of elections. The series also may include any supporting documentation for the reports. The reports are filed at the same time that the official results of an election are certified to the Department of State. Amended reports are due within 10 days after discovery of new information. The reports must cover areas described in statute such as equipment or software malfunction, staff shortages, or polling place procedural violations. Records created per Section 102.141(9), *Florida Statutes*, County canvassing board; duties.

RETENTION:

- a) Record copy: 22 months after certification of election or after the filing date of the last amended report for that election, whichever is later.
- b) Duplicate: Retain until obsolete, superseded or administrative value is lost.

COUNTY CANVASSING BOARD CERTIFICATES: FEDERAL, STATE AND LOCAL ELECTIONS **Item #19**

This record series consists of certifications of the total number of votes cast for each person for each office and the office for which each was nominated or elected. The record copy of this document for federal, state, and multicounty races is filed with the Department of State and an additional record copy is maintained by the county elections office. These records are created pursuant to Section 102.151, *Florida Statutes*, which reads in part, “The county canvassing board shall make and sign duplicate certificates containing the total number of votes cast for each person nominated or elected, the names of persons for whom such votes were cast, and the number of votes cast for each candidate or nominee. One of such certificates which relates to offices for which the candidates or nominees have been voted for in more than one county shall be immediately transmitted to the Department of State, and the second copy filed in the supervisor’s office.” For retention of county canvassing board meeting minutes, use *General Records Schedule GS1-SL for State and Local Government Agencies*, item #32, MINUTES: OFFICIAL MEETINGS.

RETENTION:

- a) Record copy. **Permanent.**
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

DAILY VOTER LOGS

Item #118

This record series consists of reports generated daily to track changes made in the voter system such as new registrations; preregistrations (for 16 to 17-year-olds who preregister so that they are already registered to vote once they turn 18); address, party, and name changes; or any other changes made to a voter record on that particular day.

RETENTION:

- a) Record copy. 22 months after certification of next election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

EARLY VOTING REPORTS

Item #145

This record series consists of reports listing the daily total number and the names of early voters at each early voting location during an early voting period. These reports are also reported daily to the Division of Elections for the duration of the early voting period. These records are created pursuant to Section 101.657, *Florida Statutes*, Early voting.

RETENTION:

- a) Record copy. 3 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

EARLY VOTING VOTER CERTIFICATES: FEDERAL ELECTIONS

Item #119

This record series consists of the voter’s certificate that is signed by the elector voting a ballot in person at an early voting site pursuant to Section 101.657, *Florida Statutes*, which reads in part, “The supervisor of elections shall allow an elector to vote early in the main or branch office of the supervisor by depositing the voted ballot in a voting device used by the supervisor to collect or tabulate ballots . . . The elector must provide identification . . . and must complete an Early Voting Voter Certificate . . .” Retention is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

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EARLY VOTING VOTER CERTIFICATES: STATE AND LOCAL ELECTIONS**Item #120**

This record series consists of the voter's certificate that is signed by the elector voting a ballot in person at an early voting site pursuant to Section 101.657, *Florida Statutes*, which reads in part, "The supervisor of elections shall allow an elector to vote early in the main or branch office of the supervisor by depositing the voted ballot in a voting device used by the supervisor to collect or tabulate ballots . . . The elector must provide identification . . . and must complete an Early Voting Voter Certificate . . ."

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

ELECTION PARAMETER RECORDS: FEDERAL ELECTIONS**Item #146**

This record series consists of election parameters used within the voting system to define the tabulation and reporting instructions for each election. The series includes the election definition that consists of the administrative database used to define the election and the election-specific files generated and used by the system. Records of election parameters are submitted to the Division of Elections for each election. Records created per Sections 101.5607(1)(b), Department of State to maintain voting system information; 101.5612, *Florida Statutes*, Testing of tabulating equipment, and Rule 1S-2.015(5)(f), *Florida Administrative Code*, Minimum Security Procedures for Voting Systems, Standards for Security Procedures. Retention is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of the last election in which the election parameters were used.
- b) Duplicates. Retain until obsolete, superseded or administrative value is lost.

ELECTION PARAMETER RECORDS: STATE AND LOCAL ELECTIONS**Item #147**

This record series consists of election parameters used within the voting system to define the tabulation and reporting instructions for each election. The series includes the election definition that consists of the administrative database used to define the election and the election-specific files generated and used by the system. Records of election parameters are submitted to the Division of Elections for each election. Records created per Sections 101.5607(1)(b), Department of State to maintain voting system information; 101.5612, *Florida Statutes*, Testing of tabulating equipment, and Rule 1S-2.015(5)(f), *Florida Administrative Code*, Minimum Security Procedures for Voting Systems, Standards for Security Procedures.

RETENTION:

- a) Record copy. 1 anniversary year after certification of the last election in which the election parameters were used.
- b) Duplicate. Retain until obsolete, superseded or administrative value is lost.

ELECTION RETURNS: COUNTY TABULATION**Item #35**

This record series consists of the voting results for each office or other items on the ballot as the count is completed. These records are created pursuant to Section 101.5614, *Florida Statutes*, Canvass of returns, and Section 102.071, *Florida Statutes*, Tabulation of votes and proclamation of results.

RETENTION:

- a) Record copy. **Permanent.**
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

ELECTION RETURNS: PRECINCT (FEDERAL ELECTIONS)**Item #100**

This record series consists of the voting results for each office or other items on the ballot as the count is completed. This record series also includes election night preliminary returns, first unofficial returns, second unofficial returns, and precinct-level election results by aggregated totals of ballots cast for each candidate or nominee and other election certifications which are subsequently reported to the Department of State. These records are created pursuant to Sections 98.0981(2), *Florida Statutes*, Reports; voting history; statewide voter registration system information; precinct-level election results; book closing statistics; 101.5614, *Florida Statutes*, Canvass of returns; 102.071, *Florida Statutes*, Tabulation of votes and proclamation of results; 102.141, *Florida Statutes*, County canvassing board; duties; 102.151, *Florida Statutes*, County canvassing board to issue certificates; supervisor to give notice to Department of State; and 102.112, *Florida Statutes*, Deadline for submission of county returns to the Department of State. Retention is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. **These records may have archival value.**

RETENTION:

- a) Record copy. 22 months after certification of election. **Agencies should ensure appropriate preservation of records determined to have long-term historical value.**
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

ELECTION RETURNS: PRECINCT (STATE AND LOCAL ELECTIONS)**Item #34**

This record series consists of the voting results for each office or other items on the ballot as the count is completed. This record series also includes election night preliminary returns, first unofficial returns, second unofficial returns, and precinct-level election results by aggregated totals of ballots cast for each candidate or nominee and other

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election certifications which are subsequently reported to the Department of State. These records are created pursuant to Sections 98.0981(2), *Florida Statutes*, Reports; voting history; statewide voter registration system information; precinct-level election results; book closing statistics; 101.5614, *Florida Statutes*, Canvass of returns; 102.071, *Florida Statutes*, Tabulation of votes and proclamation of results; 102.141, *Florida Statutes*, County canvassing board; duties; 102.151, *Florida Statutes*, County canvassing board to issue certificates; supervisor to give notice to Department of State; and 102.112, *Florida Statutes*, Deadline for submission of county returns to the Department of State. **These records may have archival value.**

RETENTION:

- a) Record copy. 1 anniversary year after certification of election. **Agencies should ensure appropriate preservation of records determined to have long-term historical value.**
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

ELECTION SECURITY DEVICE RECORDS: FEDERAL ELECTIONS**Item #148**

This records series consists of records used to ensure the secure transport and chain of custody of election materials and voting equipment. This series includes numbered election seals, related logs, and other related documents. Logs may include such information as identification numbers, seal numbers, protective counter number for voting devices, and precinct information. Records created pursuant to Rule 1S-2.015, *Florida Administrative Code*, Minimum Security Procedures for Voting Systems, and Rule 1S-2.031(2)(a)2.c., *Florida Administrative Code*, Recount Procedures. Retention is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

ELECTION SECURITY DEVICE RECORDS: STATE AND LOCAL ELECTIONS**Item #149**

This records series consists of records used to ensure the secure transport and chain of custody of election materials and voting equipment. This series includes numbered election seals, related logs, and other related documents. Logs may include such information as identification numbers, seal numbers, protective counter number for voting devices, and precinct information. Records created pursuant to Rule 1S-2.015, *Florida Administrative Code*, Minimum Security Procedures for Voting Systems, and Rule 1S-2.031(2)(a)2.c., *Florida Administrative Code*, Recount Procedures.

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

JOURNALS: ELECTIONS FINANCIAL TRANSACTIONS**Item #42**

This record series consists of summaries of all elections financial transactions. For retentions for other financial records, see *General Records Schedule GS1-SL for State and Local Government Agencies*.

RETENTION:

- a) Record copy. 10 fiscal years provided applicable audits have been released, **OR** 3 years after release of any applicable Federal Single Audit, whichever is later.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

LIST OF CANDIDATES NOMINATED OR ELECTED**Item #21**

This record series consists of a list submitted to the Department of State by the county supervisor listing the names of all county and district officers nominated or elected, the office for which each was nominated or elected, and the mailing address of each. These records are created pursuant to Section 102.151, *Florida Statutes*, which reads in part, "The supervisor shall transmit to the Department of State, immediately after the county canvassing board has canvassed the returns of the election, a list containing the names of all county and district officers nominated or elected, the office for which each was nominated or elected, and the mailing address of each."

RETENTION:

- a) Record copy. Retain until obsolete, superseded, or administrative value is lost.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

MAIL BALLOT ELECTION PLAN RECORDS**Item #167**

This record series consists of Supervisors of Elections' requests and written plans for mail ballot elections, and approval or denial by the Department of State. These records are created pursuant to Section 101.6101-101.6107, *Florida Statutes*, the Mail Ballot Election Act.

RETENTION:

- a) Record copy. 1 anniversary year after certification of the election applicable to the request.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

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MAIL BALLOT ENVELOPES**Item #104**

This record series consists of the envelope with the voter's certificate that is signed by the mail ballot elector pursuant to Section 101.6103, *Florida Statutes*, Mail ballot election procedure. These records also include any mail ballot envelope marked as rejected, cancelled, or illegal. These records may also include "Request for Duplicate Mail Ballot" created by Section 101.6103, *Florida Statutes*.

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

MAIL, UNDELIVERABLE FIRST CLASS: ELECTION MATERIALS**Item #43**

This record series consists of voter information cards, absentee ballots, mail ballots, and other required election materials that are undeliverable ("not claimed," "declined," "refused," expiration of forwarding address, etc.). **For returned mail from voter address list maintenance activities, see "VOTER ADDRESS LIST MAINTENANCE RECORDS."**

RETENTION:

- a) Record copy. 2 anniversary years after receipt.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

MENTAL COMPETENCY VOTING RIGHTS RESTORED RECORDS**Item #49**

This record series consists of a list of persons who have been adjudicated mentally competent by a judge and have had their voting rights restored by order of the court. The record copy is maintained by the Clerk of the Circuit Court. These records are created pursuant to Section 98.093, *Florida Statutes*, Duty of officials to furnish lists of deceased persons, persons adjudicated mentally incapacitated, and persons convicted of a felony (formerly Section 98.301(3)), *Florida Statutes*). See also "VOTER REGISTRATION: VOTER POTENTIAL INELIGIBILITY SOURCE RECORDS."

RETENTION:

- a) Record copy. 1 anniversary year after receipt.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PETITION RECORDS: BALLOTTED ISSUES (CONSTITUTIONAL AMENDMENTS)**Item #121**

This record series consists of initiative petition records requesting consideration of proposed constitutional amendments that HAVE appeared on the ballot. These records may include qualified signatures of registered voters and all affidavits, paperwork, memoranda, documentation, etc. relating to the petition process. The records are created and retained pursuant to Section 100.371, *Florida Statutes*, Initiatives; procedure for placement on ballot. See also "CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/COMMITTEES/PARTIES."

RETENTION:

- a) Record copy. 1 anniversary year following the election in which the issue appeared on the ballot.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PETITION RECORDS: BALLOTTED ISSUES (OTHER THAN CONSTITUTIONAL AMENDMENTS) Item #57

This record series consists of petition records requesting consideration of various nonconstitutional initiatives, referenda, public measures and other questions that HAVE appeared on the ballot. These records may include qualified signatures of registered voters and all affidavits, paperwork, memoranda, documentation, etc. relating to the petition process. Records are created pursuant to Section 101.161, *Florida Statutes*, Referenda; ballots, and Section 105.036, *Florida Statutes*, Initiative for method of selection of circuit or county judges. The retention is based on Section 100.371, *Florida Statutes*, Initiatives; procedure for placement on ballot, which requires retention of related records (signature forms) for 1 year following the election in which the issue appeared on the ballot.

RETENTION:

- a) Record copy. 1 anniversary year following the election in which the issue appeared on the ballot.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PETITION RECORDS: MUNICIPAL RECALL**Item #150**

This records series consists of records relating to a municipal recall under Section 100.361, *Florida Statutes*, Municipal recall. The series includes signed and filed municipal recall petitions, the signature verification certificate, the supervisor of elections determination whether threshold for requisite signatures was met, the clerk's certification to the governing body whether requisite signatures met or not, the defensive statement, the Recall Petition and Defense and signed petitions, and the municipal officer's written resignation. Retention is based on Section 100.361(9), *Florida Statutes*, which requires that "The clerk shall preserve in his or her office all papers comprising or connected with a petition for recall for a period of 2 years after they were filed."

RETENTION:

- a) Record copy. 2 anniversary years after the petition was initially filed.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

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PETITION RECORDS: UNBALLOTTED ISSUES (CONSTITUTIONAL AMENDMENTS) Item #122

This record series consists of initiative petition records requesting consideration of proposed constitutional amendments that have NOT appeared on the ballot. These records may include qualified signatures of registered voters and all affidavits, paperwork, memoranda, documentation, etc. relating to the petition process. The records are created and retained pursuant to Section 100.371, *Florida Statutes*, Initiatives; procedure for placement on ballot.

RETENTION:

- a) Record copy. Retain until notification from the Division of Elections that the sponsoring committee that circulated the petition is no longer seeking to obtain ballot position.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PETITION RECORDS: UNBALLOTTED ISSUES (OTHER THAN CONSTITUTIONAL AMENDMENTS) Item #101

This record series consists of petition records requesting consideration of various nonconstitutional initiatives, referenda, public measures and other questions that have NOT appeared on the ballot. These records may include signatures of registered voters and all affidavits, paperwork, memoranda, documentation, etc. relating to the petition process. Records are created pursuant to Section 101.161, *Florida Statutes*, Referenda; ballots, and Section 105.036, *Florida Statutes*, Initiative for method of selection of circuit or county judges.

RETENTION:

- a) Record copy. Retain until notification that the committee that circulated the petition is no longer seeking ballot position.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PETITION SIGNATURE RECORDS FOR CANDIDATES FOR FEDERAL OFFICE Item #60

This record series consists of signature petitions requesting ballot position for candidates for federal office. These records may include signatures of registered voters and all affidavits, paperwork, memoranda, documentation, etc. relating to the petition process. The records are created pursuant to Sections 99.095, *Florida Statutes*, Petition process in lieu of a qualifying fee and party assessment; 99.0955, *Florida Statutes*, Candidates with no party affiliation; name on general election ballot; 99.096, *Florida Statutes*, Minor political party candidates; names on ballot; and 99.09651, *Florida Statutes*, Signature requirements for ballot position in year of apportionment. Retention is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. See also "CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/COMMITTEES/PARTIES."

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PETITION SIGNATURE RECORDS FOR CANDIDATES FOR STATE AND LOCAL OFFICE Item #59

This record series consists of signature petitions requesting ballot position for state and local candidates. These records may include signatures of registered voters and all affidavits, paperwork, memoranda, documentation, etc. relating to the petition process. The records are created pursuant to Sections 99.095, *Florida Statutes*, Petition process in lieu of a qualifying fee and party assessment; 99.0955, *Florida Statutes*, Candidates with no party affiliation; name on general election ballot; 99.096, *Florida Statutes*, Minor political party candidates; names on ballot; 99.09651, *Florida Statutes*, Signature requirements for ballot position in year of apportionment; and 105.035, *Florida Statutes*, Petition process of qualifying for certain judicial offices and the office of school board member. See also "CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/COMMITTEES/PARTIES."

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

POLL WATCHERS RECORDS: FEDERAL ELECTIONS Item #68

This record series consists of lists of names of poll watchers submitted for approval to the supervisor of elections. Each political party, each candidate, and each political committee formed for specific purpose of expressly supporting or defeating a ballot measure may submit such a list. This series also includes any correspondence, certifications, precinct list of approved poll watchers, or other documentation relating to the submission and approval of poll watchers' names pursuant to Section 101.131, *Florida Statutes*, Watchers at polls. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

POLL WATCHERS RECORDS: STATE AND LOCAL ELECTIONS Item #67

This record series consists of lists of names of poll watchers submitted for approval to the supervisor of elections. Each political party, each candidate, and each political committee formed for specific purpose of expressly supporting or defeating a ballot measure may submit such a list. This series also includes any correspondence,

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certifications, precinct list of approved poll watchers, or other documentation relating to the submission and approval of poll watchers' names pursuant to Section 101.131, *Florida Statutes*, Watchers at polls.

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

POLL WORKER RECORDS: FEDERAL ELECTIONS**Item #123**

This record series consists of all poll worker materials including poll worker applications, oaths, training material, certification, assignment notices, availability notices, class attendance notices and sign-in information, correspondence, surveys completed by poll workers, and tests/quizzes issued to poll workers. These records are created pursuant to Sections 102.012, *Florida Statutes*, Inspectors and clerks to conduct elections; 102.014, *Florida Statutes*, Poll worker recruitment and training; and 102.021, *Florida Statutes*, Compensation of inspectors, clerks, and deputy sheriffs. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

POLL WORKER RECORDS: STATE AND LOCAL ELECTIONS**Item #124**

This record series consists of all poll worker materials including poll worker applications, oaths, training material, certification, assignment notices, availability notices, class attendance notices and sign-in information, correspondence, surveys completed by poll workers, and tests/quizzes issued to poll workers. These records are created pursuant to Sections 102.012, *Florida Statutes*, Inspectors and clerks to conduct elections; 102.014, *Florida Statutes*, Poll worker recruitment and training; and 102.021, *Florida Statutes*, Compensation of inspectors, clerks, and deputy sheriffs.

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PRECINCT AND POLLING PLACE LOCATION RECORDS: FEDERAL ELECTIONS**Item #151**

This record series consists of lists of precincts and polling places for Election Day and early voting, including addresses; hours for each early voting site; and any mailed, published, or posted notices relating to a change in precinct or polling place for Election Day or early voting. These records are created pursuant to Sections 101.001, *Florida Statutes*, Precincts and polling places; boundaries; 101.657, *Florida Statutes*, Early Voting; and 101.71, *Florida Statutes*, Polling place. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. See also "PRECINCT BOUNDARY RECORDS AND MAPS."

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PRECINCT AND POLLING PLACE LOCATION RECORDS: STATE AND LOCAL ELECTIONS**Item #152**

This record series consists of lists of precincts and polling places Election Day and early for voting, including addresses; hours for each early voting site; and any mailed, published, or posted notices relating to a change in precinct or polling place for Election Day or early voting. These records are created pursuant to Sections 101.001, *Florida Statutes*, Precincts and polling places; boundaries; 101.657, *Florida Statutes*, Early Voting; and 101.71, *Florida Statutes*, Polling place. See also "PRECINCT BOUNDARY RECORDS AND MAPS."

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PRECINCT BOUNDARY RECORDS AND MAPS**Item #69**

This record series consists of maps drawn to scale with all major observable features; worded description of the geographical boundaries; all precinct reorganization correspondence; and printed copies of maps outlining precinct boundaries and affixing precinct numbers thereon which are available for general use/sale. These records are created pursuant to Section 101.001, *Florida Statutes*, Precincts and polling places; boundaries (formerly Section 98.031, *Florida Statutes*). See also "PRECINCT AND POLLING PLACE LOCATION RECORDS: FEDERAL ELECTIONS" and "PRECINCT AND POLLING PLACE LOCATION RECORDS: STATE AND LOCAL ELECTIONS."

RETENTION:

- a) Record copy. **Permanent.**
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PRECINCT MAP REFERENCE MATERIALS**Item #125**

This record series consists of copies of descriptions of property being annexed by local governments that will change precinct boundaries or lines, including correspondence, reports, maps, certifying statements, and municipal service

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plans; maps giving street, township, and range for each quadrant of the county upon which the approved platted subdivisions are drawn and affixed; and maps approved and certified by the government entity showing street names and geographical boundaries of approved subdivision and development therein which aid the supervisor of elections in establishing, changing, and reorganizing precincts and polling place locations. These records are created pursuant to Section 101.001, *Florida Statutes*, Precincts and polling places; boundaries (formerly Section 98.031, *Florida Statutes*). This series does **not** include the record (master) copy of Precinct Boundary Records and Maps (see that item).

RETENTION:

- a) Record copy. 22 months after certification of the next federal election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PRECINCT REGISTERS: FEDERAL ELECTIONS**Item #72**

This record series consists of a register of each registered voter (and other lists of registered voters) within the precinct. The precinct register contains the date of the election, the precinct number, and the following information concerning each registered elector: last name, first name, middle name or initial, party affiliation, residence address, registration number, date of birth, and additionally, may include sex, race, state or county of birth, and other identifying data. These records also include any supplemental lists supplied to the precinct workers during the Early Voting period or on Election Day and lists of registered voters who have voted as compiled or indicated at the polls. Records created per Sections 98.461, *Florida Statutes*, Registration application, precinct register; contents, and 101.23, *Florida Statutes*, Election inspector to keep list of those voting. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. See also "VOTER REGISTRATION: BOOKS AND OFFICIAL RECORDS."

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PRECINCT REGISTERS: STATE AND LOCAL ELECTIONS**Item #71**

This record series consists of a register of each registered voter (and other lists of registered voters) within the precinct. The precinct register contains the date of the election, the precinct number, and the following information concerning each registered elector: last name, first name, middle name or initial, party affiliation, residence address, registration number, date of birth, and additionally, may include sex, race, state or county of birth, and other identifying data. These records also include any supplemental lists supplied to the precinct workers during the Early Voting period or on Election Day and lists of registered voters who have voted as compiled or indicated at the polls. Records created per Sections 98.461, *Florida Statutes*, Registration application, precinct register; contents, and 101.23, *Florida Statutes*, Election inspector to keep list of those voting. See also "VOTER REGISTRATION: BOOKS AND OFFICIAL RECORDS."

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

"PROTEST OF ELECTION" RETURNS: FEDERAL ELECTIONS**Item #75**

This record series consists of copies of "Protest of Election Returns to Canvassing Board or to Circuit Judge." These records were created pursuant to Sections 102.166 and 102.167, *Florida Statutes*. The retention period is based on Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. This series is no longer accumulating.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

"PROTEST OF ELECTION" RETURNS: STATE AND LOCAL ELECTIONS**Item #74**

This record series consists of copies of "Protest of Election Returns to Canvassing Board or to Circuit Judge." These records were created pursuant to Sections 102.166 and 102.167, *Florida Statutes*. This series is no longer accumulating.

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PROVISIONAL BALLOT VOTERS' CERTIFICATES: FEDERAL OFFICE**Item #126**

This record series consists of the provisional ballot voter's certificate and affirmation that is signed by the elector, as well as the rejected unopened Provisional Ballot envelopes. These records also include oaths challenging eligibility of voter, and any other documentary evidence that is presented to or considered by the local canvassing board in determining whether to count a provisional ballot. These records are created pursuant to Sections 101.111, *Florida Statutes*, Person desiring to vote may be challenged; challenger to execute oath; oath of person challenged; determination of challenge; 101.048, *Florida Statutes*, Provisional ballots; and 101.049, *Florida Statutes*, Provisional

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ballots; special circumstances; and Rule 1S-2.037, *Florida Administrative Code*, Provisional Ballots. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. See also "VOTER CHALLENGE RECORDS: FEDERAL ELECTIONS" and VOTER CHALLENGE RECORDS: STATE AND LOCAL ELECTIONS."

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

PROVISIONAL BALLOT VOTERS' CERTIFICATES: STATE AND LOCAL OFFICE**Item #127**

This record series consists of the provisional ballot voter's certificate and affirmation that is signed by the elector, as well as the rejected unopened Provisional Ballot envelopes. These records also include oaths challenging eligibility of voter, and any other documentary evidence that is presented to or considered by the local canvassing board in determining whether to count a provisional ballot. These records are created pursuant to Sections 101.111, *Florida Statutes*, Person desiring to vote may be challenged; challenger to execute oath; oath of person challenged; determination of challenge; 101.048, *Florida Statutes*, Provisional ballots; and 101.049, *Florida Statutes*, Provisional ballots; special circumstances; and Rule 1S-2.037, *Florida Administrative Code*, Provisional Ballots. See also "VOTER CHALLENGE RECORDS: FEDERAL ELECTIONS" and VOTER CHALLENGE RECORDS: STATE AND LOCAL ELECTIONS."

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

REGISTERED ELECTORS STATISTICAL REPORTS**Item #80**

This record series consists of a report compiled by the county supervisor and submitted to the Department of State listing the total number of registered electors of each political party in which any elector has registered and the number of electors registered as independents or without party affiliation. These records are no longer created pursuant to repeal of Section 98.231, *Florida Statutes*. Statistics are available through the Florida Voter Registration System.

RETENTION:

- a) Record copy. Retain until obsolete, superseded, or administrative value is lost.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

RESIDENTIAL STREET ADDRESS LIST**Item #153**

This record series consists of lists maintained by the Supervisor of Elections to verify legal addresses of voters residing in the county. This series is created pursuant to Section 98.015(12), *Florida Statutes*, Supervisor of elections; election, tenure of office, compensation, custody of registration-related documents, office hours, successor, seal; appointment of deputy supervisors; duties. This information is forwarded to the Department of State to compile and maintain a statewide electronic database of valid residential street addresses pursuant to Section 98.045(4), *Florida Statutes*, Administration of voter registration.

RETENTION:

- a) Record copy. Retain until obsolete, superseded, or administrative value is lost.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

SUPERVISORS' REPORTS OF QUALIFIED CANDIDATES**Item #15**

This record series consists of reports submitted to the Department of State by the supervisor of elections containing the names, party affiliations, and addresses of all candidates and the offices for which they qualified. These records are created pursuant to Section 99.092(2), *Florida Statutes*, which reads in part, "The supervisor of elections shall, immediately after the last day for qualifying, submit to the Department of State a list containing the names, party affiliations, and addresses of all candidates and the offices for which they qualified."

RETENTION:

- a) Record copy. Retain until obsolete, superseded, or administrative value is lost.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

UNUSED BALLOTS, FORMS, AND OTHER ELECTION MATERIALS

Unused/blank forms are not public records. Approval by the Division of Elections is required to dispose of unused election materials pursuant to Section 101.545, *Florida Statutes*, which reads in part, "All unused ballots, forms, and other election materials may, with the approval of the Department of State, be destroyed by the supervisor after the election for which such ballots, forms, or other election materials were to be used." **CONTACT THE DIVISION OF ELECTIONS FOR DISPOSAL AUTHORIZATION.**

VOTER ADDRESS LIST MAINTENANCE RECORDS**Item #106**

This record series consists of records relating to address list maintenance programs and activities, including the names and addresses of registered voters to whom notices were sent regarding a change or confirmation of a

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residential address for purposes of registration and voting in the county. The series includes returned or undeliverable Address Change Notices, Address Confirmation Request forms, Address Confirmation Final Notice forms, and pre-addressed return forms or other address change information returned by the voter, as well as the names of inactive voters. The records are created pursuant to Sections 98.065, *Florida Statutes*, Registration list maintenance programs, and 98.0655, *Florida Statutes*, Registration list maintenance forms.

RETENTION:

- a) Record copy. Retain as long as voter is registered or 2 anniversary years after voter is removed from the official list of registered voters, whichever occurs later.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER AUTHORIZATION SLIPS/STUBS: FEDERAL ELECTIONS**Item #133**

This record series consists of the numbered slips or stubs given to voters when they sign in at the voting site. The voter hands this slip/stub to a poll worker when the voter is ready to cast his/her vote to verify that the voter has properly signed in at the voting site and is authorized to vote. The retention is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. See also "BALLOT STUBS: FEDERAL ELECTIONS."

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER AUTHORIZATION SLIPS/STUBS: STATE AND LOCAL ELECTIONS**Item #134**

This record series consists of the numbered slips or stubs given to voters when they sign in at the voting site. The voter hands this slip/stub to a poll worker when the voter is ready to cast his/her vote to verify that the voter has properly signed in at the voting site and is authorized to vote. See also "BALLOT STUBS: STATE AND LOCAL ELECTIONS."

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER CHALLENGE RECORDS: FEDERAL ELECTIONS**Item #154**

This record series consists of oaths executed to challenge a voter's eligibility to vote at the polls including those submitted within 30 days in advance of the election. These records are created pursuant to Section 101.111, *Florida Statutes*, Person desiring to vote may be challenged; challenger to execute oath; oath of person challenged; determination of challenge. This record series may also include protests filed against the canvassing of an absentee ballot as allowed per Section 101.68, *Florida Statutes*, Canvassing of absentee ballot. The retention is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. See also "BALLOT STUBS: FEDERAL ELECTIONS" and "PROVISIONAL BALLOT VOTERS' CERTIFICATES: FEDERAL OFFICE."

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER CHALLENGE RECORDS: STATE AND LOCAL ELECTIONS**Item #155**

This record series consists of oaths executed to challenge a voter's eligibility to vote at the polls including those submitted within 30 days in advance of the election. These records are created pursuant to Section 101.111, *Florida Statutes*, Person desiring to vote may be challenged; challenger to execute oath; oath of person challenged; determination of challenge; Section 101.6104, *Florida Statutes*, Challenge of votes; and Section 101.68, *Florida Statutes*, Canvassing of absentee ballot. See also "BALLOT STUBS: STATE AND LOCAL ELECTIONS" and "PROVISIONAL BALLOT VOTERS' CERTIFICATES: STATE AND LOCAL OFFICE."

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER LIST ACQUISITION OATHS: FEDERAL OFFICE**Item #55**

This record series consists of oaths for acquisition of lists of registered voters, challenged voters, and precinct election boards for an election in a federal office. Also included are oaths for appointment of deputy supervisors of elections. These records were created pursuant to Sections 98.095(3), 101.111, and 102.012, *Florida Statutes*. The retention period is based on Title 42, U.S.C. 1974. This series is no longer accumulating.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER LIST ACQUISITION OATHS: STATE AND LOCAL OFFICE**Item #54**

This record series consists of oaths for acquisition of lists of registered voters, challenged voters, and precinct election boards for an election in a state or local office. Also included are oaths for appointment of deputy

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supervisors of elections. These records were created pursuant to Sections 98.095(3), 101.111, and 102.012, *Florida Statutes*. This series is no longer accumulating.

RETENTION:

- a) Record copy. 1 anniversary year after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER REGISTRATION: BOOKS AND OFFICIAL RECORDS**Item #94**

This record series consists of the official registration information for all qualified voters in each county. These records are created pursuant to Sections 97.053, *Florida Statutes*, Acceptance of voter registration applications; 97.057, *Florida Statutes*, Voter registration by the Department of Highway Safety and Motor Vehicles; 97.058, *Florida Statutes*, Voter registration agencies; 97.105, *Florida Statutes*, Permanent single registration system established; 98.035, *Florida Statutes*, Statewide voter registration system; implementation, operation, and maintenance; 98.461, *Florida Statutes*, Registration application, precinct register; contents; and 101.002 (3), *Florida Statutes*, Use of system by municipalities. Since January 1, 2006, these records are officially recorded and retained electronically in the Florida Voter Registration System. The retention period for the record copy is pursuant to Attorney General Opinion 86-18 and Florida Division of Elections opinion DE 87-06. See also "APPLICATIONS: ABSENTEE BALLOT/REGISTRATION (FEDERAL POSTCARD APPLICATIONS)," "PRECINCT REGISTERS: FEDERAL ELECTIONS," "PRECINCT REGISTERS: STATE AND LOCAL ELECTIONS," "VOTER ADDRESS LIST MAINTENANCE RECORDS," "VOTER REGISTRATION: CHANGE OF NAME, PARTY, SIGNATURE, OR RESIDENCE RECORDS," "VOTER REGISTRATION: IDENTIFICATION EXEMPTION RECORDS," and "VOTER REGISTRATION: VOTER POTENTIAL INELIGIBILITY SOURCE RECORDS."

RETENTION:

- a) Record copy. **Permanent.**
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER REGISTRATION: CERTIFICATION OF RECORDS MAINTENANCE ACTIVITIES REPORT **Item #156**

This record series consists of Supervisors of Elections copies of reports filed with the Division of Elections relating to address list and voter registration eligibility maintenance activities. Each Supervisor of Elections must certify to the Department of State twice a year that he or she has conducted required activities relating to maintaining accurate and current addresses for registered voters in the Florida Voter Registration System and to processing information or records relating to the potential ineligibility of registered voters. Records created per Section 98.065(6), *Florida Statutes*, Registration list maintenance programs, and 98.075(8), *Florida Statutes*, Registration records maintenance activities; ineligibility determinations. Retention pursuant to Section 98.045(3), *Florida Statutes*, Administration of voter registration-- Public records access and retention.

RETENTION:

- a) Record copy. 2 anniversary years from date of filing.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER REGISTRATION: CHANGE OF NAME, PARTY, SIGNATURE, OR RESIDENCE RECORDS **Item #22**

This record series consists of notification from electors to the supervisor of elections because of a change in the elector's name due to marriage or other legal process; a change in political party affiliation; a signature update; or change of residence/mailling address. These records revise or update the official registration records for all qualified voters which, since January 1, 2006, are centrally compiled and retained in the Florida Voter Registration System. These records are created pursuant to Sections 97.1031, *Florida Statutes*, Notice of change of residence, change of name, or change of party affiliation; 98.077, *Florida Statutes*, Update of voter signature; and 101.045, *Florida Statutes*, Electors must be registered in precinct; provisions for change of residence or name. See also "AFFIDAVITS/AFFIRMATIONS: EXECUTED AT EARLY VOTING SITES OR AT THE POLLS: FEDERAL ELECTIONS," "AFFIDAVITS/AFFIRMATIONS: EXECUTED AT EARLY VOTING SITES OR AT THE POLLS: STATE AND LOCAL ELECTIONS," and "VOTER REGISTRATION: BOOKS AND OFFICIAL RECORDS."

RETENTION:

- a) Record copy. **Permanent.**
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER REGISTRATION: IDENTIFICATION EXEMPTION RECORDS**Item #130**

This record series consists of an exemption form and/or the required identification documents provided by the voter pursuant to Section 97.0535, *Florida Statutes*, which reads in part, "Each applicant who registers by mail and who has never previously voted in the state and who the department has verified has not been issued a current and valid Florida driver's license, Florida identification card, or social security number shall be required to provide a copy of a current and valid identification, as provided in subsection (3), or indicate that he or she is exempt from the requirements prior to voting." **These records are considered part of the permanent voter registration record.** See also "VOTER REGISTRATION: BOOKS AND OFFICIAL RECORDS."

RETENTION:

- a) Record copy. **Permanent.**
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

**FLORIDA DEPARTMENT OF STATE
GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS**

VOTER REGISTRATION: INCOMPLETE AND DENIED APPLICATIONS**Item #129**

This record series consists of voter registration applications that have been denied or cannot be processed because they are incomplete. These records are created pursuant to Sections 97.053, *Florida Statutes*, Acceptance of voter registration applications; 97.073, *Florida Statutes*, Disposition of voter registration applications; cancellation notice; and 98.045, *Florida Statutes*, Administration of voter registration.

RETENTION:

- a) Record copy. 2 anniversary years after notice to applicant that application is incomplete or denied.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER REGISTRATION: PREFERENCE/DECLINATION RECORDS**Item #132**

This record series consists of records indicating that individuals declined to register to vote at a voter registration agency, defined as "any office that provides public assistance, any office that serves persons with disabilities, any center for independent living, or any public library" (Section 97.021(40), *Florida Statutes*). The retention period is pursuant to Section 97.058(7), *Florida Statutes*, Voter registration agencies, which requires voter registration agencies to "retain declinations for a period of 2 years, during which time the declinations are not considered a record of the client pursuant to the laws governing the agency's records."

RETENTION:

- a) Record copy. 2 anniversary years after receipt.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER REGISTRATION: VOTER ELIGIBILITY CASE FILES (ELIGIBLE)**Item #157**

This record series consists of case files documenting registered voters whose cases were closed because it could not be determined conclusively whether they were ineligible to be registered and vote. The series includes, but is not limited to, copies of a court order or judgment that the voter was mentally incapacitated with respect to voting and has had his or her right to vote restored; a court order or judgment that the voter has been convicted of any state or federal felony and has had his or her right to vote restored; proof that the voter meets the age requirement; information that the voter is a United States citizen; information that the voter is not a fictitious person; verification that the voter has listed a residence that is his or her legal residence; or any other information indicating that the registered voter meets the eligibility requirements. This series also includes notices mailed or published to the voter of potential ineligibility, any other correspondence to or from the voter, hearing records, and determination of eligibility. These case files may have been compiled and forwarded to the Supervisor of Elections by the Bureau of Voter Registration Services, or they may have been created by the Supervisor of Elections based on information received from another source. Records created per Section 98.075(4)-(7), *Florida Statutes*, Registration records maintenance activities; ineligibility determinations. Retention based on 42 U.S.C. 1973gg-6(i), Requirements with respect to administration of voter registration, Public disclosure of voter registration activities.

RETENTION:

- a) Record copy. 2 anniversary years after case closed.
- b) Duplicate. Retain until obsolete, superseded or administrative value is lost.

VOTER REGISTRATION: VOTER ELIGIBILITY CASE FILES (INELIGIBLE)**Item #158**

This record series consists of case files documenting registered voters identified as and determined to be ineligible based on credible and reliable information and also documenting voters who have been removed from the official rolls by request either directly from the voter or indirectly through notice received from an out-of-state election official that the person is now registered in another state. The series includes, but is not limited to, copies of a court order or judgment that the voter is mentally incapacitated with respect to voting and has not had his or her right to vote restored; a court order or judgment that the voter has been convicted of any state or federal felony and has not had his or her right to vote restored; information that the voter does not meet the age requirement; information that the voter is not a United States citizen; information that the voter is a fictitious person; information that the voter has listed a residence that is not his or her legal residence; or any other information indicating that the registered voter does not meet the eligibility requirements. This series also includes notices mailed or published to the voter of potential ineligibility, any other correspondence to or from the voter, hearing records, and determination of ineligibility. These case files may have been compiled and forwarded to the Supervisor of Elections by the Bureau of Voter Registration Services, or they may have been created by the Supervisor of Elections based on information received from another source. Records created per Section 98.075(4)-(7), *Florida Statutes*, Registration records maintenance activities; ineligibility determinations. Retention based in part on 42 U.S.C. 1973gg-6(i), Requirements with respect to administration of voter registration, Public disclosure of voter registration activities, and Section 98.081(2), *Florida Statutes*, which authorizes the restoration of "the name of any elector . . . erroneously or illegally removed from the statewide voter registration system."

RETENTION:

- a) Record copy. **Permanent.**
- b) Duplicate. Retain until obsolete, superseded or administrative value is lost.

**FLORIDA DEPARTMENT OF STATE
GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS**

VOTER REGISTRATION: VOTER INFORMATION CARDS**Item #93**

This record series consists of voter information cards issued pursuant to Section 97.071, *Florida Statutes*, Voter information cards, provide notice to registered voters as to their registration record information status or to provide applicants notice of disposition as to their applications pursuant to Sections 97.071, *Florida Statutes*, Voter information card; 97.073, *Florida Statutes*, Disposition of voter registration application; cancellation notice; and 97.1031, *Florida Statutes*, Notice of change of residence, change of name, or change of party affiliation.

RETENTION:

- a) Record copy. Retain until obsolete, superseded, or administrative value is lost.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTER REGISTRATION: VOTER POTENTIAL INELIGIBILITY SOURCE RECORDS**Item #87**

This record series consists of records from state and federal agencies that are used by the supervisor of elections as a basis for identifying a registered voter as potentially ineligible pursuant to Section 98.093, *Florida Statutes*, Duty of officials to furnish lists of deceased persons, persons adjudicated mentally incapacitated, and persons convicted of a felony, and Title 42 U.S.C. 20, I-H s. 1973gg-6(g), Requirements with respect to administration of voter registration, Conviction in Federal court. Records may include lists, judgments, or other documentation relating to: deceased persons (Florida Department of Health/Vital Statistics); adjudications of mental incapacity with respect to voting (clerks of the court); persons convicted of a felony in federal court (U.S. State Attorney's Office); convicted felons (Florida Department of Law Enforcement); persons granted clemency (Parole Commission/Board of Executive Clemency); inmate records (Florida Department of Corrections); Florida driver licenses removed from the driver license database because they have been licensed in another state (Florida Department of Highway Safety and Motor Vehicles); persons registered to vote in another state (state election officials); or other records from other governmental sources. Retention pursuant to Section 98.045(3), *Florida Statutes*, Administration of voter registration, Public Records Access and Retention, and Title 42 U.S.C. 1973gg-6(i), Requirements with respect to administration of voter registration, Public disclosure of voter registration activities. See also "MENTAL COMPETENCY VOTING RIGHTS RESTORED RECORDS," "VOTER REGISTRATION: BOOKS AND OFFICIAL RECORDS" and "VOTER REGISTRATION: VOTER ELIGIBILITY CASE FILES (INELIGIBLE)."

RETENTION:

- a) Record copy. 2 anniversary years after receipt of information.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTING EQUIPMENT AND SYSTEM: ACQUISITION RECORDS**Item #159**

This record series consists of records relating to acquisition of approved voting systems and equipment filed with the Division of Elections at the time of purchase or acquisition. The series may include vote tabulation source code, software, updates, modifications, user and/or operator manuals, and the vendor's sworn certification. The series may also include bid invitations submitted by counties for the acquisition of voting equipment. Records created per Sections 101.294(5), *Florida Statutes*, Purchase and sale of voting equipment; and 101.5607(1)(a), *Florida Statutes*, Department of State to maintain voting system information; prepare software; and Rule 1S-2.015, *Florida Administrative Code*, Minimum Security Procedures for Voting Systems.

RETENTION:

- a) Record copy. 1 anniversary year after report of superseding acquisition report is filed.
- b) Duplicate. Retain until obsolete, superseded or administrative value is lost.

VOTING EQUIPMENT AND SYSTEM: AUDIT RECORDS**Item #160**

This record series consists of records relating to manual audits of voting equipment and systems pursuant to Section 101.591, *Florida Statutes*, Voting system audit, and Rule 1S-5.026, *Florida Administrative Code*, Post-Election Certification Voting System Audit. The series includes the results posted and the results reported to the Department of State.

RETENTION:

- a) Record copy. 2 anniversary years after final audit report is filed with the Department of State.
- b) Duplicate. Retain until obsolete, superseded or administrative value is lost.

VOTING EQUIPMENT AND SYSTEM: MAINTENANCE AND TESTING RECORDS**Item #95**

This record series consists of maintenance records, calibration, and/or testing of voting equipment and systems, including tabulation programs used in logic and accuracy tests submitted to the Department of State. This series may include program codes, user and operator manuals and copies of all software, firmware, media, exhibits, manuals and related documentation. These records are created pursuant to Sections 101.5607, *Florida Statutes*, Department of State to maintain voting system information; prepare software, and 101.5612, *Florida Statutes*, Testing of tabulating equipment. Retention is based on Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of the last election in which the machine was used.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

**FLORIDA DEPARTMENT OF STATE
GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS**

VOTING HISTORY: FEDERAL ELECTIONS**Item #161**

This record series consists of voting history for each qualified voter in an election as reported to the Department of State for federal elections. These records indicate whether a qualified voter voted absentee, at the polls on Election Day or during early voting, or by provisional ballot. Records created pursuant to Section 98.0981, *Florida Statutes*, Reports; voting history; statewide voter registration system information; precinct-level election results; book closing statistics.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTING HISTORY: STATE AND LOCAL ELECTIONS**Item #162**

This record series consists of voting history for each qualified voter in an election as reported to the Department of State for state and local elections. These records indicate whether a qualified voter voted absentee, at the polls on Election Day or during early voting, or by provisional ballot. Records created pursuant to Section 98.0981, *Florida Statutes*, Reports; voting history; statewide voter registration system information; precinct-level election results; book closing statistics.

RETENTION:

- a) Record copy. 1 anniversary year after certification of the election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTING MACHINE VOTES CAST SUMMARY LISTING: FEDERAL OFFICE**Item #96**

This record series consists of an aggregated number of votes cast per machine per election. These records were created pursuant to Sections 101.5614 and 102.071 (formerly 101.54), *Florida Statutes*. The retention period is pursuant to Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections. This series is no longer accumulating, as these records relate to the mechanical lever machines which are no longer in use in Florida.

RETENTION:

- a) Record copy. 22 months after certification of the last election in which the machine was used.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTING MACHINE VOTES CAST SUMMARY LISTING: STATE AND LOCAL OFFICE**Item #98**

This record series consists of an aggregated number of votes cast per machine per election. These records were created pursuant to Sections 101.5614 and 102.071 (formerly 101.54), *Florida Statutes*. This series is no longer accumulating, as these records relate to the mechanical lever machines which are no longer in use in Florida.

RETENTION:

- a) Record copy. 1 anniversary year after certification of the last election in which the machine was used.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTING SYSTEM OVERVOTES/UNDERVOTES REPORTS**Item #163**

This record series consists of overvote and undervote information compiled and forwarded to the Department of State for further analysis and report after each general election year per Section 101.595, *Florida Statutes*, Analysis and reports of voting problems.

RETENTION:

- a) Record copy. 1 anniversary year after the information is reported to the Department of State.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTING SYSTEM SECURITY PROCEDURES**Item #164**

This record series consists of written procedures for ensuring voting system security and accuracy in accordance with Section 101.015(4)(b), *Florida Statutes*, Standards for voting systems, and Rule 1S-2.015, *Florida Administrative Code*, Minimum Security Procedures for Voting Systems. The series may also include any revisions to previously approved procedures, recommendations and acknowledgements made by the Division of Elections, and samples of forms, schedules, and checklists along with instructions for their use.

RETENTION:

- a) Record copy. 2 anniversary years after superseded.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

VOTING SYSTEM TRANSACTION LOGS**Item #131**

This record series consists of records of each transaction conducted on a voting device between the time the device was cleared from one election and the time it is cleared for the next election. Transaction log records will indicate, for example, that a voter cast a ballot at a specified time. The retention period is based on Title 42, U.S.C. 1974, Retention and preservation of records and papers by officers of elections.

RETENTION:

- a) Record copy. 22 months after certification of election.
- b) Duplicates. Retain until obsolete, superseded, or administrative value is lost.

FLORIDA DEPARTMENT OF STATE
GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS
CROSS-REFERENCE

CROSS-REFERENCE

- ABSENTEE BALLOT ENVELOPES - FIRST-TIME VOTERS: FEDERAL ELECTIONS
use ABSENTEE BALLOT ENVELOPES AND CERTIFICATES: FEDERAL ELECTIONS
- ABSENTEE BALLOT ENVELOPES - FIRST-TIME VOTERS: STATE AND LOCAL ELECTIONS
use ABSENTEE BALLOT ENVELOPES AND CERTIFICATES: STATE AND LOCAL ELECTIONS
- ABSENTEE BALLOT ENVELOPES: FEDERAL ELECTIONS
use ABSENTEE BALLOT ENVELOPES AND CERTIFICATES: FEDERAL ELECTIONS
- ABSENTEE BALLOT ENVELOPES: STATE AND LOCAL ELECTIONS
use ABSENTEE BALLOT ENVELOPES AND CERTIFICATES: STATE AND LOCAL ELECTIONS
- ABSENTEE BALLOT "IN OFFICE" VOTER CERTIFICATES: FEDERAL ELECTIONS
use ABSENTEE BALLOT ENVELOPES AND CERTIFICATES: FEDERAL ELECTIONS
- ABSENTEE BALLOT "IN OFFICE" VOTER CERTIFICATES: STATE AND LOCAL ELECTIONS
use ABSENTEE BALLOT ENVELOPES AND CERTIFICATES: STATE AND LOCAL ELECTIONS
- ABSENTEE BALLOT/REGISTRATION APPLICATIONS
use APPLICATIONS: ABSENTEE BALLOT/REGISTRATION (FEDERAL POSTCARD APPLICATIONS)
- ANNEXATION RECORDS
use PRECINCT MAP REFERENCE MATERIALS
- ANNUAL SPECIAL SALARY CERTIFICATION
use *General Records Schedule GS1-SL for State and Local Government Agencies*, Item #195, PAYROLL RECORDS: SUPPORTING DOCUMENTS
or *General Records Schedule GS1-SL for State and Local Government Agencies*, Item #378, PERSONNEL RECORDS: SUPPLEMENTAL DOCUMENTATION
or *General Records Schedule GS1-SL for State and Local Government Agencies*, Item #19, PERSONNEL RECORDS: FLORIDA RETIREMENT SYSTEM
- APPLICATIONS: REPLACEMENT OF REGISTRATION ID CARD
use APPLICATIONS: REPLACEMENT OF VOTER INFORMATION CARD
- BALLOTS, UNUSED
see *UNUSED BALLOTS, FORMS, AND OTHER ELECTION MATERIALS*
- CAMPAIGN RECORDS: COMMITTEES OF CONTINUOUS EXISTENCE
use CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/COMMITTEES/PARTIES
- CANDIDATE/COMMITTEE FILES
use CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/COMMITTEES/PARTIES
- CANDIDATES' FILING FEE REPORTS
use SUPERVISORS' REPORTS OF QUALIFIED CANDIDATES
- CENTRAL VOTING SYSTEM RECORDS
use ELECTION PARAMETER RECORDS: FEDERAL ELECTIONS
or ELECTION PARAMETER RECORDS: STATE AND LOCAL ELECTIONS
- CERTIFIED CANVASSING BOARD REPORTS
use LIST OF CANDIDATES NOMINATED OR ELECTED
- CHANGE OF NAME, PARTY, SIGNATURE, OR RESIDENCE RECORDS
use VOTER REGISTRATION: CHANGE OF NAME, PARTY, SIGNATURE, OR RESIDENCE RECORDS
- DECLINATIONS
use VOTER REGISTRATION: PREFERENCE/DECLINATION RECORDS

**FLORIDA DEPARTMENT OF STATE
GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS
CROSS-REFERENCE**

ELECTION MATERIALS, UNUSED

use *UNUSED BALLOTS, FORMS, AND OTHER ELECTION MATERIALS*

FEDERAL POSTCARD APPLICATIONS

use APPLICATIONS: ABSENTEE BALLOT/REGISTRATION (FEDERAL POSTCARD APPLICATIONS)

FINANCIAL DISCLOSURE STATEMENTS: ELECTED OFFICIALS AND CANDIDATES

use CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/COMMITTEES/PARTIES

FINANCIAL DISCLOSURE STATEMENTS: APPOINTED OFFICIALS AND GOVERNMENT EMPLOYEES

use *General Records Schedule GS1-SL for State and Local Government Agencies*, Item #346, FINANCIAL DISCLOSURE STATEMENTS (LOCAL GOVERNMENT)

HELP AMERICA VOTE ACT (HAVA) EXEMPTION FORM

use VOTER REGISTRATION: IDENTIFICATION EXEMPTION RECORDS

INACTIVE VOTER LISTS

use VOTER ADDRESS LIST MAINTENANCE RECORDS

LIST MAINTENANCE FORMS

use VOTER ADDRESS LIST MAINTENANCE RECORDS

MAPS: ASSESSMENT

use PRECINCT MAP REFERENCE MATERIALS

MAPS: PLAT

use PRECINCT MAP REFERENCE MATERIALS

MAPS: PRECINCT

use PRECINCT BOUNDARY RECORDS AND MAPS

OATHS: FEDERAL OFFICE

use VOTER LIST ACQUISITION OATHS: FEDERAL OFFICE

OATHS: STATE AND LOCAL OFFICE

use VOTER LIST ACQUISITION OATHS: STATE AND LOCAL OFFICE

PETITION SIGNATURE RECORDS: BALLOTTED

use PETITION RECORDS: BALLOTTED ISSUES (CONSTITUTIONAL AMENDMENTS)
or PETITION RECORDS: BALLOTTED ISSUES (OTHER THAN CONSTITUTIONAL AMENDMENTS)

PETITION SIGNATURE RECORDS: UNBALLOTTED

use PETITION RECORDS: UNBALLOTTED ISSUES (CONSTITUTIONAL AMENDMENTS)
or PETITION RECORDS: UNBALLOTTED ISSUES (OTHER THAN CONSTITUTIONAL AMENDMENTS)

POLL LISTS

use PRECINCT REGISTERS: FEDERAL ELECTIONS
or PRECINCT REGISTERS: STATE AND LOCAL ELECTIONS

POLL LOCATION RECORDS

use PRECINCT AND POLLING PLACE LOCATION RECORDS: FEDERAL ELECTIONS
or PRECINCT AND POLLING PLACE LOCATION RECORDS: STATE AND LOCAL ELECTIONS

PROVISIONAL BALLOT ENVELOPES: FEDERAL OFFICE

use PROVISIONAL BALLOT VOTERS' CERTIFICATES: FEDERAL OFFICE

PROVISIONAL BALLOT ENVELOPES: STATE AND LOCAL OFFICE

use PROVISIONAL BALLOT VOTERS' CERTIFICATES: STATE AND LOCAL OFFICE

**FLORIDA DEPARTMENT OF STATE
GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS
CROSS-REFERENCE**

PROVISIONAL BALLOT VOTERS' AFFIRMATIONS

use PROVISIONAL BALLOT VOTERS' CERTIFICATES: FEDERAL OFFICE
or PROVISIONAL BALLOT VOTERS' CERTIFICATES: STATE AND LOCAL OFFICE

PURGE FORMS

use VOTER ADDRESS LIST MAINTENANCE RECORDS

PURGE LISTS

use VOTER ADDRESS LIST MAINTENANCE RECORDS

QUALIFYING RECORDS: CANDIDATE

use CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/COMMITTEES/PARTIES

QUALIFYING RECORDS: POLITICAL COMMITTEE

use CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/ COMMITTEES/PARTIES

REGISTRATION ID CARD REPLACEMENT APPLICATIONS

use APPLICATIONS: REPLACEMENT OF VOTER INFORMATION CARD

REGISTRATION RECORDS: POLITICAL COMMITTEE

use CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/COMMITTEES/PARTIES

REQUEST FOR REIMBURSEMENT FOR PETITION SIGNATURE VERIFICATION

use *General Records Schedule GS1-SL for State and Local Government Agencies*, Item #365,
RECEIPT/REVENUE RECORDS: DETAIL

THIRD PARTY VOTER REGISTRATION ORGANIZATION REPORT

use *General Records Schedule GS1-SL for State and Local Government Agencies*, Item #124, OPERATIONAL
AND STATISTICAL REPORT RECORDS
or *General Records Schedule GS1-SL for State and Local Government Agencies*, Item #2, ADMINISTRATIVE
CONVENIENCE RECORDS

TREASURERS' RECORDS: CANDIDATES/COMMITTEES/PARTIES

use CAMPAIGN AND REGISTRATION RECORDS: CANDIDATES/ COMMITTEES/PARTIES

VOTER LIST MAINTENANCE RECORDS

use VOTER ADDRESS LIST MAINTENANCE RECORDS

VOTER REGISTRATION APPLICATIONS: DUPLICATES AND INCOMPLETES

use VOTER REGISTRATION: INCOMPLETE AND DENIED APPLICATIONS

VOTER REGISTRATION CANCELLATION RECORDS

use VOTER REGISTRATION: VOTER POTENTIAL INELIGIBILITY SOURCE RECORDS

VOTER REGISTRATION RENEWAL CARDS

use VOTER REGISTRATION: VOTER INFORMATION CARDS

VOTING EQUIPMENT RECORDS

use VOTING EQUIPMENT AND SYSTEM: MAINTENANCE AND TESTING RECORDS

VOTING EQUIPMENT RECORDS AND SYSTEM: MAINTENANCE AND TESTING

use VOTING EQUIPMENT AND SYSTEM: MAINTENANCE AND TESTING RECORDS

VOTING MACHINE TESTING RECORDS

use VOTING EQUIPMENT AND SYSTEM: MAINTENANCE AND TESTING RECORDS

**FLORIDA DEPARTMENT OF STATE
GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS
ALPHABETICAL LISTING**

ALPHABETICAL LISTING

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ALPHABETICAL LISTING**

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**FLORIDA DEPARTMENT OF STATE
GENERAL RECORDS SCHEDULE GS3 FOR ELECTION RECORDS
NUMERICAL LISTING**

NUMERICAL LISTING

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UNUSED BALLOTS, FORMS, AND OTHER ELECTION MATERIALS

AFFIDAVIT OF DR. THOMAS W. RYAN

I, Thomas W. Ryan being duly sworn, does hereby swear and affirm:

1. I hold a Ph.D in *Electrical Engineering* from the University of Arizona and have over 30-years experience with digital image creation, processing and interpretation.
2. I have over 16-years experience with election systems in Pima County, Arizona, a county that uses digital scanners. For approximately 9-years, I served as a member of the Pima County Election Integrity Commission, an appointment from the Pima County Board of Supervisors, including 4 years as Chair.
3. Pima County acquired a new central count election tabulation system in 2015. I participated in the creation of the Statement of Work as part of the Request for Proposal prior to the procurement of this system. The new system was purchased from Election Systems and Software (ES&S), a vendor that provides equipment and services to many jurisdictions across the U.S.
4. The new election system consisted of several DS850 central count ballot scanners, the Election Management System (EMS) Server and Client software, and the Election Reporting Manager (ERM) software, version EVS 5.2.0.0. This system is typical of election systems used in many states, including several counties in Florida.
5. The DS850 is a digital scanning ballot counter designed for use at a central count facility. The device receives a stack of paper ballots, processes them one by one, and places them in one of three output bins: counted, write-in, and uncounted (needs review or rescanning).
6. The system begins the ballot counting process by creating a digital image of the paper ballot. All subsequent processing is based on interpretation of the digital ballot by internal software. The interpretation of the image occurs very rapidly (approximately 0.2 seconds per ballot) allowing the ballots to be immediately sorted into said output bins. The image is binary (black and white) and is scanned at a spatial resolution of 200dpi.
7. In configuring the scanner for an election, there is an option to a) Save all processed images, or b) Save processed write-in images only, or c) Save None. Regardless of which option is chosen, the ballot image is captured and held in memory during the interpretation stage. The digital image is thus an absolutely necessary intermediate product of the DS850.
8. If the option to save all images has been selected, the DS850 stores each ballot image as a separate file with a unique filename.
9. Regardless of which image storage option is selected, the DS850 stores each associated interpretation (votes) as a Cast Vote Record (CVR). An image and its CVR are given the same file name but different file extensions so that it is easy to retrieve any image and its corresponding interpretation.
10. Each DS850 has a storage capacity of one terabyte. The images are stored in a compressed format so the storage capacity of each scanner is more than 20

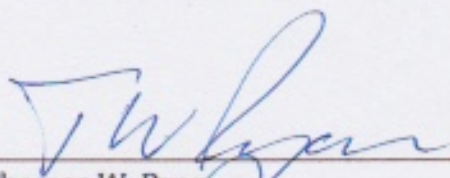
million ballot images and their CVRs. As a result, storing ballot images on the scanners during the ballot count is not a problem.

11. The DS850 provides a configuration menu with a "Ballot Images" option. This option allows the operator to determine which images, if any, are exported to the server and preserved. The user can select whether all images, only images with write-in votes, or no images are exported along with the CVRs.
12. It is possible to leave the images sitting on the DS850 and export only the CVRs. The images can be transferred to the server for retention after Election Day.
13. The votes represented by the collection of CVRs are accumulated to create vote totals for each candidate and issue represented on the ballot. The reporting software uses these tabulation figures to create election summaries that are subsequently certified by local officials during the canvass.
14. Prior to the advent of digital scanning devices, many jurisdictions used "mark-sense" scanners that detected votes directly from paper ballots. With a digital scanning system, the paper ballots are only used to create images (and to support post-election auditing in some jurisdictions).
15. The ballot images are a critical component for system diagnostics. If errors or discrepancies are discovered during post-election audits, the images are needed to determine the source of errors, be they caused by a faulty scanner, subsequent software bugs, or other external reasons. Access to the images helps to pinpoint the source of the errors.
16. Ballot images are also used by some jurisdictions to support ballot adjudication (e.g., recording of write-in votes and/or analysis of questionable ballot interpretation). These jurisdictions have used the ballot images to make tedious operations more efficient.
17. In some jurisdictions, ballot images have been declared to be public records that must be saved as long as the original paper ballots are retained. In addition, some jurisdictions release ballot images to the public on request.
18. I am of the firm opinion that ballot images created by election system scanners are critical intermediate products that must be retained just as paper ballots are retained after each election.

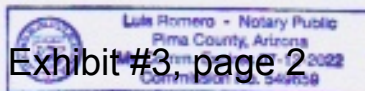
In Summary, deleting ballot images significantly undermines the integrity of any election system that derives all its tabulation data from those images. With today's technology and storage media, there is no good reason to delete these ballot images.

FURTHER AFFIANT SAYETH NAUGHT.

11/13/18
Date ~~11/12/2018~~ 11/13/18 *VMR*


Thomas W. Ryan
9115 E Sierra St, Tucson AZ 85710

STATE OF AZ
COUNTY OF Pima
SUBSCRIBED AND SWORN TO BEFORE ME
THIS 13 DAY OF Nov, 2018
BY Thomas W. Ryan
NOTARY PUBLIC



AUDIT USA

Americans United for Democracy, Integrity and Transparency in Elections

AFFIDAVIT OF JOHN ROBERTS BRAKEY

I, John Roberts Brakey being duly sworn, does hereby swear and affirm:

1. I am an elections investigator and elections transparency activist. I have been working in this field for 14-years and have investigated dozens of elections and inspected voting equipment all over the country.
2. I lead Americans United for Democracy, Integrity & Transparency in Elections USA (AUDIT USA), a non-profit, non-partisan organization comprised of individuals who dedicate their time and expertise to ensure that voting equipment and vote counting protocols at all levels are not vulnerable to manipulation and that the official election outcomes accurately reflect the will of the people who cast ballots.
3. I have substantial experience in observing voting systems. In particular, I have observed and studied the operations of the DS200 and DS850 voting machines manufactured by Election Systems and Software (ES&S). In addition, I have studied the ES&S operation manuals for these machines.
4. I am witness to this action to preserve all digital ballot images and to require that state and county officials comply with federal and state law to preserve all election materials that are related to the election of November 6, 2018, and for all elections thereafter.
5. I traveled to Florida in September of 2018 to collaborate with a longtime colleague Susan Pynchon, Director, Florida Fair Elections Coalition, to determine which Florida Counties are in compliance with federal and state laws requiring the preservation of all election materials, including ballot images.
6. On Sept 18, Attorney Chris Sautter, Bennie Smith, Emily Levy and I traveled to Miami-Dade County, the largest county in Florida. We met with Gilbert Yurubi, Miami-Dade County Assistant Deputy Director of Elections. We knew before we went to meet Mr. Yurubi, from a previous phone call, that ballot images were being destroyed. Miami-Dade County uses ES&S DS200, a Digital Scanner, at all precincts. I explained to Mr. Yurubi that ballot images from the precinct-count DS200 Digital Scanners are part of the chain of custody and requested that Miami-Dade save ballot images in the November 6 General Election. I provided him with page 54 of an ES&S document, Link below.¹ Mr. Yurubi stated that he would take our request up with his superiors.
7. Attorney Chris Sautter sent a follow-up e-mail to Mr. Yurubi but received no response.
8. On September 21, I traveled to Lee County, the 8th largest county in FL and met with Todd Putnam, Systems Administrator for the Lee County elections office. Mr. Putnam confirmed to me that they don't save the ballot images and stated, "*Why would we do that? We have the originals.*" We had a good talk. I pointed out that these digital scanners do not count the original ballot; rather, the digital scanners count votes from the digital image made of each ballot. Ballot images are therefore an integral part in the chain of custody, and the system doesn't work without the images.

¹ ES&S document called "**System Functionality Description**" on data retention see page 54 called "2.1.10 Data Retention" document source came from ES&S to the Colorado Sec. of State, site: <https://www.sos.state.co.us/pubs/elections/VotingSystems/systemsDocumentation/ESS/EVS5203-C-D-0200-SFD.pdf>

AUDIT USA

Americans United for Democracy, Integrity and Transparency in Elections

9. On September 21, I also went to Hendry County. They are a small county of 17,000 voters in size; they are 48th out the 67 counties. Brenda Hoots, the Supervisor of Elections was not there. I met with Sherry Taylor, Nora Ned, and Emilio Hernandez. They said that they do save the ballot images. They find the system is great for the "auditing and adjudication" process of the election. This only can be done if the images are saved and imported into the Election Management System. This is an important part of the election certification process. Verifying the results in-house by questioning anomalies such as miscounts, overvotes, undervotes. It provides the opportunity to examine the ballots without having to violate seals placed by poll-workers.

10. It's a fact in election scoring of races using digitally scanned images that voter intent is totaled from ballot images as the sole source of reporting the win/loss of a candidate for office. Destroying these records in a federal election is illegal. It violates common sense and the common law of chain-of-custody procedures; as well as undermines the integrity of any election that derives all tabulation data from these ballot images. Page 54 of the ES&S document referenced in footnote contains the following important sentence which is part of a paragraph discussing the requirements of United States Code Title 42, Section 1974: "...if a record is generated, Section 1974 comes into force and the appropriate authority must retain the record for 22 months." This sentence is found at the end of the following paragraph, on Page 54 of the ES&S document:

"Because the purpose of this law is to assist the federal government in discharging its law enforcement responsibilities in connection with civil rights and elections crimes, its scope must be interpreted in keeping with that objective. The appropriate state or local authority must preserve all records that may be relevant to the detection and prosecution of federal civil rights or election crimes for the 22-month federal retention period, if the records were generated in connection with an election that was held in whole or in part to select federal candidates. It is important to note that Section 1974 does not require that election officials generate any specific type or classification of election record. However, if a record is generated, Section 1974 comes into force and the appropriate authority must retain the records for 22 months."

FURTHER AFFIANT SAYETH NAUGHT.

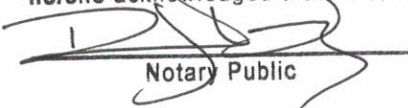
December 21, 2018



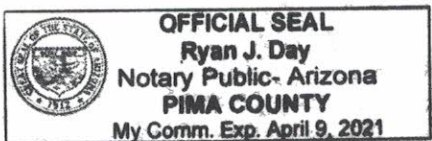
John Roberts Brakey
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 Tucson, AZ 85706
 Email: JohnBrakey@gmail.com
 Site: www.AUDITeletionUSA.com

State of Arizona }
 County of Pima }

On this 21st day of DEC 2018, JOHN ROBERTS BRAKEY
 personally appeared before me whose identity
 I proved on the basis of satisfactory evidence
 to be the signer of the above instrument and
 he/she acknowledged that he/she executed it.



Notary Public





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Test Plan for EAC VVSG 1.0 Certification Testing
Election Systems & Software (ES&S)
Voting System (EVS) 5.4.1.0

EAC Project Number: EVS5410

Version: Initial

Date: 4/6/2018

U.S. Election Assistance Commission

VSTL

EAC Lab Code 1501

NVLAP[®]

NVLAP LAB CODE 200908-0

SIGNATURES

Approved by: Michael Walker 4/6/18
Michael Walker, VSTL Project Manager Date

Approved by: Jack Coll 4-6-18
For: Wendy Owens, VSTL Program Manager Date

REVISIONS

Revision	Description	Date
NR	Initial Release	4/6/2018

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1.0 INTRODUCTION

The purpose of this Test Plan is to document the procedures that Pro V&V, Inc. will follow to perform certification testing during a system modification campaign for the Election Systems and Software (ES&S) Voting System (EVS) 5.4.1.0 to the requirements set forth for voting systems in the U.S. Election Assistance Commission (EAC) 2005 Voluntary Voting System Guidelines (VVSG), Version 1.0. Prior to submitting the voting system for testing, ES&S submitted an application package to the EAC for certification of the EVS 5.4.1.0. The application was accepted by the EAC and the project was assigned the unique Project Number of EVS5410.

At test conclusion, the results of all testing performed as part of this test campaign will be submitted to the EAC in the form of a national certification test report.

1.1 Description and Overview of EAC Certified System Being Modified

The EAC Certified System that is the baseline for the submitted modification is described in the following subsections. All information presented was derived from the previous Certification Test Report, the EAC Certificate of Conformance and/or the System Overview.

EVS 5.4.1.0 includes the following hardware: ExpressVote Universal Voting System (ExpressVote) hardware 2.1, AutoMARK Voter Assist Terminal (AutoMARK), DS200 precinct-based scanner and tabulator (DS200), and DS850 high-speed central scanner and tabulator (DS850).

The following subsections describe the baselined EVS 5.4.0.0.

ES&S EVS 5.4.0.0 is comprised of the ExpressVote, AutoMARK, DS200, DS850, Electionware Election Management System (Electionware), Election Reporting Manager (ERM), ES&S Event Log Service (ELS), Removable Media Service (RMS), ExpressVote Previewer and VAT Previewer.

- The ExpressVote is a universal vote capture device designed for all voters, with independent voter-verifiable paper record that is digitally scanned for tabulation. This system combines paper-based voting with touch screen technology. The ExpressVote includes a mandatory vote summary screen that requires voters to confirm or revise selections prior to printing the summary of ballot selections using the internal thermal printer. Once printed, ES&S tabulators process the vote summary card. The ExpressVote can serve all voters, including those with special needs, allowing voters to cast ballots autonomously. ES&S has fully integrated the ExpressVote with the existing suite of ES&S voting system products.
- AutoMARK Voter Assist Terminal enables voters who are visually or physically impaired and voters more comfortable reading or hearing instructions and choices in an alternative language to privately mark optical scan ballots. The AutoMARK supports navigation through touchscreen, physical keypad or ADA support peripheral such as a sip and puff device or two position switch.

- DS200 digital scanner and tabulator is a paper ballot tabulator designed for use as a polling place scanner. After the voter makes their selections on their paper ballot, their ballot and/or vote summary card is inserted into the unit for immediate tabulation. Both sides of the ballot are scanned at the same time using a high-resolution image-scanning device that produces ballot images.
- The DS850 is a high-speed, digital scan central ballot tabulator that uses cameras and imaging algorithms to capture voter selections on the front and back of a ballot, evaluate results and then sort ballots into discrete bins without interrupting scanning. A dedicated audit printer generates a continuous event log. Machine level reports are produced from a second, laser printer. The scanner saves voter selections and ballot images to an internal hard disk and exports results to a USB memory stick for processing with ERM.
- Electionware integrates the election administration functionality into a unified application. Its intended use is to define an election and create the resultant media files used by the ExpressVote, DS200, AutoMARK, DS850, and ERM. An integrated ballot viewer allows election officials to view the scanned ballot and captured ballot data side-by-side and produce ballot reports.
- ES&S Event Log Service (ELS) is a Windows Service that runs in the background of any active ES&S Election Management software application to monitor the proper functioning of the Windows Event Viewer. The ELS closes any active ES&S software application if the system detects the improper deactivation of the Windows Event Viewer.
- The ExpressVote Previewer is an application within the EMS program that allows the user to preview audio text and screen layout prior to burning Election Day media for the ExpressVote.
- The VAT Previewer is an application within the EMS program that allows the user to preview audio text and screen layout prior to burning Election Day media for the AutoMARK.
- Removable Media Service (RMS) is an application that runs in the background of the EMS client workstation and supports the installation and removal of election and results media.
- Election Reporting Manager (ERM) generates paper and electronic reports for election workers, candidates, and the media. Jurisdictions can use a separate ERM installation to display updated election totals on a monitor as ballot data is tabulated, and send the results' reports directly to the media outlets. ERM supports accumulation and combination of ballot results data from all ES&S tabulators. Precinct and accumulated total reports provide a means to accommodate candidate and media requests for totals and are available upon demand. High-speed printers are configured as part of the system accumulation/reporting stations PC and related software.

1.8.7 **Baseline Certified System**

The baseline system for this modification is the EVS 5.4.0.0. The tables below describe the certified equipment and firmware versions.

Detailed descriptions of the EVS 5.4.0.0 test campaign are contained in NTS Report No. PR032474-TR-02, Rev. A, which is available for viewing on the EAC's website at www.eac.gov.

This subsection lists the proprietary and COTS software to be provided by the manufacturer as part of the test campaign.

Table 1-1. EVS 5.4.0.0 EAC Certified System Components

System Component	Software or Firmware Version	Hardware Version	Description
ExpressVote (Marker)	2.1.0.0	2.1	Universal Voting System that combines paper-based voting with touch screen technology. Includes a mandatory vote summary screen that requires voters to confirm or revise selections prior to printing the summary of ballot selections.
ExpressVote (Tabulator)	2.1.0.0	2.1	Universal Voting System that combines paper-based voting with touch screen technology. Includes all functions of the ExpressVote Marker and also provides the optional capability of tabulating printed vote summary cards.
DS200	2.14.0.0	1.2.1, 1.2.3, 1.3	Precinct Digital Scanner that scans voter selections from both sides of the ballot simultaneously
Auto MARK A100	1.8.7.0	1.0	ADA Ballot Marking Device
AutoMARK A200 (SBC 2.0 & 2.5)	1.8.7.0	1.1	ADA Ballot Marking Device
AutoMARK A200	1.8.7.0	1.3	ADA Ballot Marking Device
AutoMARK A300 (SBC 2.0 & 2.5)	1.8.7.0	1.3	ADA Ballot Marking Device
DS850	2.11.0.0	1.0	Central Count Scanner, high-speed
Ballot Box Hardware	---	1.2, 1.3	Plastic ballot box
Ballot Box Hardware	---	1.0, 1.1, 1.2	Metal ballot box with/without diverter
EMS Reporting Workstation	---	Dell OptiPlex 980	Workstation for EMS Reporting
EMS Server	---	Dell PowerEdge T710	Server for EMS
EMS Reporting Laptop	---	Dell Latitude E6410	Laptop for EMS Reporting
DS850 Report Printer	---	Oki B430dn & Oki B431dn	Laser report printer
DS850 Audit Printer	---	Oki Microline 420	Dot Matrix Printer

Table 1-1. EVS 5.4.0.0 System Components *(continued)*

System Component	Software or Firmware Version	Hardware Version	Description
USB Flash Drive	---	Delkin 512MB	Storage for election and ballot definition
USB Flash Drive	---	Delkin 4GB	Storage for election and ballot definition
USB Flash Drive	---	Delkin 8 GB	Storage for election and ballot definition
USB Flash Drive	---	Delkin 1 GB	Storage for election and ballot definition
USB Flash Drive	---	Delkin 2 GB	Storage for election and ballot definition
USB Flash Drive	---	Delkin 16 GB	Storage for election and ballot definition
Compact Flash	---	Delkin Devices 1.0 GB capacity	Storage for election and ballot definition
Barcode Scanner	---	DS457-SR20009	Barcode scanner manufactured by Zebra
Electionware	4.8.0.0	---	Election management software that provides end-to-end election management activities
Election Reporting Manager (ERM)	8.13.0.0	---	Election results reporting program
Event Log Service (ELS)	1.5.6.0	---	Logs users' interactions with EMS.
Removable Media Service (RMS)	1.4.6.0	---	Utility that runs in the background of the Windows operating system
ExpressVote Previewer	2.1.0.0	---	Application within the EMS program that allows the user to preview audio text and screen layout prior to burning Election Day media for the ExpressVote
VAT Preview	1.8.7.0	---	Application within the EMS program
Adobe Acrobat Standard	11	---	---
Cerberus FTP	8.0.6 (x64)	---	---
Microsoft Server 2008	R2 w/SP1	---	---
Microsoft Windows 7	64-bit/SP1	---	---
WSUS Microsoft Windows Offline Update Utility	10.7.4	---	---
Micro Focus RM/COBOL Runtime	12.06	---	---
Symantec Endpoint Protection	12.1.6	---	---
Symantec Endpoint Protection Intelligent Updater	20160829-002-v5i64	---	---

1.1.2 Description of Modification

The EVS 5.4.1.0 is a modified voting system configuration that includes upgrades to the components of the EVS 5.4.0.0 and introduces a new hardware version for the ExpressVote. EVS 5.4.1.0 adds four new ExpressVote configuration options: Quad Express Cart, MXB ExpressVote Voting Booth, ExpressVote Single Table and ExpressVote Double Table. EVS 5.4.1.0 also: adds a new ADA table configuration for the AutoMARK; provides security upgrades to third-party EMS COTS products; and contains minor enhancements to Electionware and ExpressVote.

The list below includes specific changes between this system and the baseline of the EVS 5.4.0.0:

General

- Security upgrades to third-party EMS COTS products

ExpressVote Universal Voting System

- Introduced new hardware version of the ExpressVote (Hardware 2.1)
 - The new hardware version for the ExpressVote addresses end-of-life components as well as improved manufacturability (ES&S ECO 975)
- Introduced new configuration options for the ExpressVote
 - ExpressVote Single Table: Holds one ExpressVote in place while providing privacy for the voter. The table features a hole for cord management and a privacy screen. With side approach, this table accommodates voters in wheelchairs as well as standing voters
 - ExpressVote Double Table: Holds two ExpressVote units in place while providing privacy for each voter. The table features a hole for cord management and a double privacy screen.
 - MXB ExpressVote Voting Booth: A configurable voting booth solution that accommodates seated voters on one side and standing voters on the other. Each side of this voting booth includes privacy screens
 - Quad Express Cart: A rolling cart with four locking caster wheels. It is capable of holding up to four ExpressVote units in place. Three of the units are positioned for standing voters while the fourth accommodates a seated voter. Each of the four stations on this cart include deployable privacy screens
- Resolved an issue with write-in entries using a two-position switch in multi-language elections
- Resolved an issue where very long candidate text can truncate instead of displaying the entire text string.

AutoMARK

- Introduced new configuration option

- AutoMARK Table: Holds one AutoMARK in place while providing privacy for the voter. The table features a hole for cord management. With side approach, this table accommodates voters in wheelchairs as well as standing voters

Electionware

- Updated audio prompts for enhanced support of ADA voting with a two-position switch
- Updated Users xml export filename
- Updated User Guide

1.1.3 Initial Assessment

An initial assessment on the submitted modifications was performed to determine the scope of testing. Testing from the previous test campaign was used to establish the baseline. Based on the assessment, it was determined the following tasks would be required to verify compliance of the modifications:

- Source Code Review, Compliance Build, Trusted Build, and Build Document Review
- System Level Testing
 - System Integration
 - Accuracy
- Technical Documentation Package (TDP) Review
- Functional Configuration Audit (FCA)
- System Loads & Hardening
- Physical Configuration Audit (PCA)
- Hardware Testing
 - Operating Environmental Testing
 - Non-Operating Environmental Testing
 - Electrical Testing
- Usability & Accessibility Testing

1.1.4 Regression Test

Regression testing for this test campaign will consist of the execution of the System Integration and Accuracy Tests.

1.2 References

- ES&S Engineering Change Order (ECO) No. 975, Rev. D, dated 2/6/2018
- Election Assistance Commission 2005 Voluntary Voting System Guidelines (VVSG) Version 1.0, Volume I, “Voting System Performance Guidelines”, and Volume II, “National Certification Testing Guidelines”
- Election Assistance Commission Testing and Certification Program Manual, Version 2.0
- Election Assistance Commission Voting System Test Laboratory Program Manual, Version 2.0
- National Voluntary Laboratory Accreditation Program NIST Handbook 150, 2016 Edition, “NVLAP Procedures and General Requirements (NIST HB 150-2016)”, dated July 2016
- National Voluntary Laboratory Accreditation Program NIST Handbook 150-22, 2008 Edition, “Voting System Testing (NIST Handbook 150-22)”, dated May 2008
- United States 107th Congress Help America Vote Act (HAVA) of 2002 (Public Law 107-252), dated October 2002
- Pro V&V, Inc. Quality Assurance Manual, Revision 1.0
- Election Assistance Commission “Approval of Voting System Testing Application Package” letter dated May 6, 2016
- EAC Requests for Interpretation (RFI) (listed on www.eac.gov)
- EAC Notices of Clarification (NOC) (listed on www.eac.gov)
- NTS Report No. PR032474-TR-02, Rev. A, “Test Report of EAC VVSG 1.0 Certification Testing Performed on Election Systems & Software EVS 5.4.0.0”
- EAC Certificate of Conformance ES&S EVS 5.4.0.0, dated February 24, 2017
- ES&S Technical Data Package (*A listing of the EVS 5.4.1.0 documents submitted for this test campaign is listed in Section 4.6 of this Test Plan*)

1.3 Terms and Abbreviations

This subsection lists terms and abbreviations relevant to the hardware, the software, or this Test Plan.

“ADA” – Americans with Disabilities Act 1990

“BMD” – Ballot Marking Device

“BOD” – Ballot On Demand

“CM” – Configuration Management

“COTS” – Commercial Off-The-Shelf
“EAC” – United States Election Assistance Commission
“ELS” – Election Log Service
“EMS” – Election Management System
“ERM” – Election Reporting Manager
“ES&S” – Election Systems and Software
“FCA” – Functional Configuration Audit
“HAVA” – Help America Vote Act
“ISO” – International Organization for Standardization
“NOC” – Notice of Clarification
“PCA” – Physical Configuration Audit
“QA” – Quality Assurance
“RMS” – Removable Media Service
“RFI” – Request for Interpretation
“TDP” – Technical Data Package
“UPS” – Uninterruptible Power Supply
“UVS” – Universal Voting System
“VAT” – Voting Assist Terminal
“VSTL” – Voting System Test Laboratory
“VVSG” – Voluntary Voting System Guidelines

1.4 Project Schedule

The Project Schedule for the test campaign is located in Appendix A. The dates on the schedule are not firm dates but planned estimates based on the anticipated project work flow.

1.5 Scope of Testing

The scope of testing focused on evaluating the modifications detailed in Section 1.1.2 of this Test Plan. Primarily, these modifications focused on upgrades to the components of the EVS 5.4.0.0 and the introduction of a new hardware version for the ExpressVote.

ES&S submitted an Engineering Change Order (ECO 975) for consideration as part of this test campaign. This ECO addressed end-of-life components for the ExpressVote as well as improved manufacturability.

To evaluate the EVS 5.4.1.0 test requirements, the submitted modifications were evaluated against each section of the EAC VVSG 1.0 to determine the applicable tests to be performed. Based on this assessment, it was determined that multiple areas within the EAC VVSG 1.0 would be evaluated to encompass the required tests.

A breakdown of the areas and associated tests is listed below:

- EAC VVSG 1.0 Volume 1, Section 2: Functional Requirements
 - System Integration Testing
 - Functional Configuration Audit (FCA)
 - Physical Configuration Audit (PCA), including System Loads & Hardening
 - Technical Documentation Package (TDP) Review
 - Accuracy Testing
- EAC VVSG 1.0 Volume 1, Section 3: Usability & Accessibility
 - Usability & Accessibility Testing
 - Technical Documentation Package (TDP) Review
- EAC VVSG 1.0 Volume 1, Section 4: Hardware Requirements
 - Hardware Testing (Non-Operating Environmental Testing, Operating Environmental Testing, and Electrical Hardware Testing)
 - Technical Documentation Package (TDP) Review
- EAC VVSG 1.0 Volume 1, Section 5: Software Requirements
 - Source Code Review, Compliance Build, Trusted Build, and Build Document Review
 - Technical Documentation Package (TDP) Review
 - Functional Configuration Audit (FCA)

1.5.1 Block Diagram

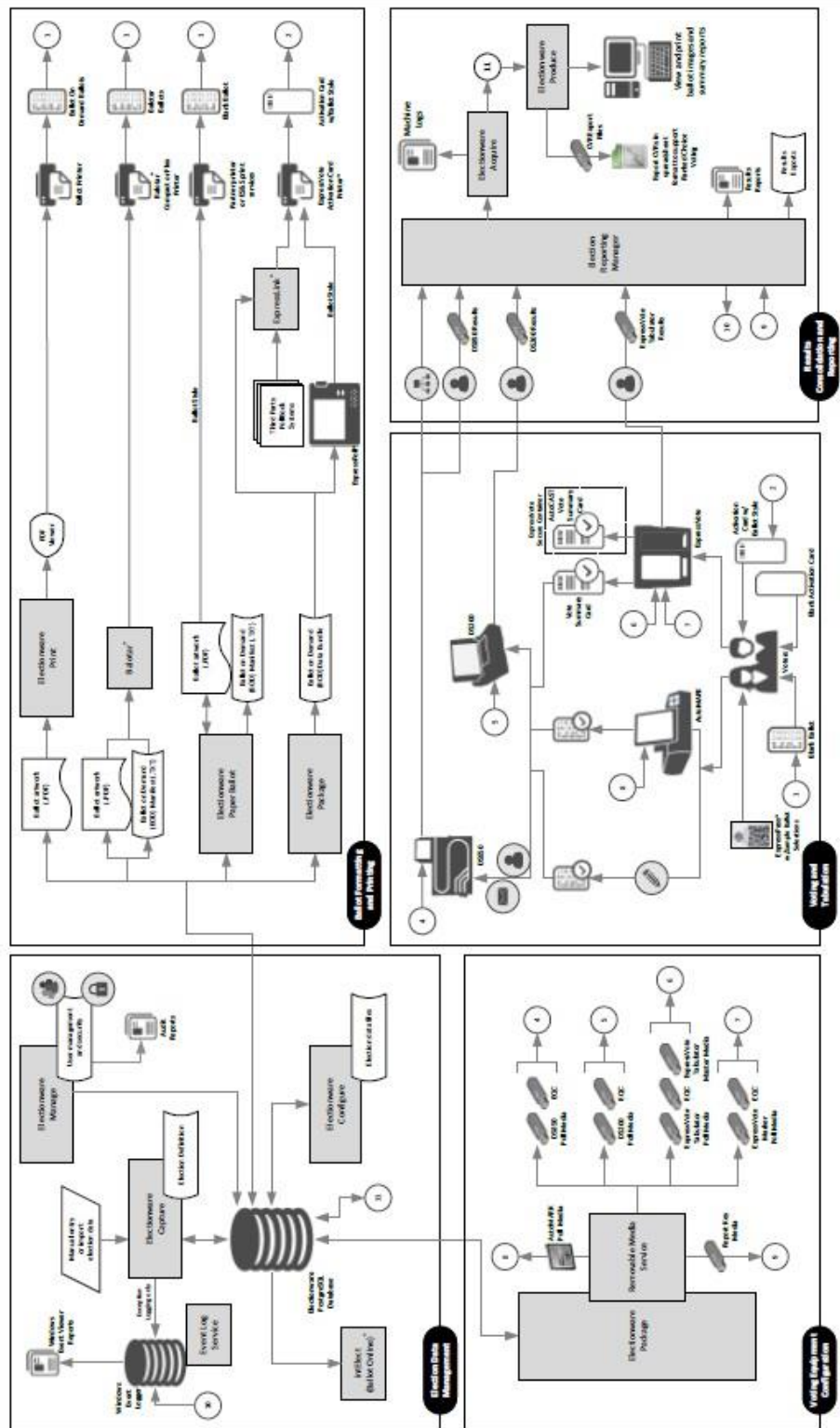


Figure 1-1. EVS 5.4.1.0 System Overview

1.5.2 System Limits

The system limits that ES&S has stated to be supported by the EVS 5.4.1.0 are provided in the table below.

Table 1-2. EVS 5.4.1.0 System Limits

System Characteristic	Boundary or Limitation	Limiting System Component
Max. precincts allowed in an election	At least 9,900	ERM
Max. count for any precinct element	500,000 (99,990 from any tabulator media)	ERM report (ERM results import)
Max. candidates allowed per election	Depends on election content (limited by 21,000 maximum counters)	ERM
Max. contests allowed in an election	Depends on election content (limited by 21,000 maximum counters)	ERM
Max. counters allowed per precinct	Limits candidates and contests assigned to a precinct to 1,000	ERM
Max. contests allowed per ballot style	200 or # of positions on ballot	N/A
Max. candidates (ballot choices) allowed per contest	175	ERM (database create)
Max. number of parties allowed	General election: 75 Primary election: 20 (including nonpartisan party)	ERM (database create)
Max. 'vote for' per contest	98	ERM (database create)
Ballot formats	All paper ballots used in an election must be the same size. Votable paper ballots must contain the same number of rows	Ballot scanning equipment
Max. Ballot Styles	9,900	ERM
Max. District Types/Groups	20	ERM
Max. districts of a given type	40	---

Additionally, the following EVS 5.4.1.0 component limitations have been identified:

Paper Ballot Limitations

1. The paper ballot code channel, which is the series of black boxes that appear between the timing track and ballot contents, limits the number of available ballot variations depending on how a jurisdiction uses this code to differentiate ballots. The code can be used to differentiate ballots using three different fields defined as: Sequence (available codes 1- 16,300), Type (available codes 1-30) or Split (available codes 1-18).

2. For paper ballots, if Sequence is used as a ballot style ID, it must be unique election-wide and the Split code will always be 1. In this case the practical style limit would be 16,300.
3. The ExpressVote activation card has a ballot ID consisting of three different fields defined as: Sequence (available codes 1-16,300), Type (available codes 1-30) or Split (available codes 1-18).

DS200

1. The ES&S DS200 configured for an early vote station does not support precinct level results reporting. An election summary report of tabulated vote totals is supported.
2. The DS200 storage limitation for write-in ballot images is 3,600 images. Each ballot image includes a single ballot face, or one side of one page.
3. Write-in image review requires a minimum 1GB of onboard RAM.
4. To successfully use the write-in report, ballots must span at least three vertical columns. Using two columns or fewer results in the write-in area being too large to print on the report tape.

AutoMARK Voter Assist Terminal

1. ES&S AutoMARK capacities exceed all documented limitations for the ES&S election management, vote tabulation and reporting system. For this reason, Election Management System and ballot tabulator limitations define the boundaries and capabilities of the AutoMARK system as the maximum capacities of the ES&S AutoMARK are never approached during testing.

Electionware

1. Electionware capacities exceed the boundaries and limitations documented for ES&S voting equipment and election reporting software. For this reason, ERM and ballot tabulator limitations define the boundaries and capabilities of the Electionware system.
2. Limits were calculated using default text sizes for ballot and report elements. Some uses and conditions, such as magnified ballot views or combining elements on printed media or ballot displays, may result in limits lower than those listed. Check printed media and displays before finalizing the election.
3. The Electionware Export Ballot Images function is limited to 250 districts per export.
4. Electionware supports the language special characters listed in the System Overview. Language special characters other than those on this list may not appear properly when viewed on equipment displays or reports.
5. The Straight Party feature must not be used in conjunction with the single or Multiple Target Cross Endorsement features.

ExpressVote

1. ExpressVote capacities exceed all documented limitations for the ES&S election management, vote tabulation and reporting system.

For this reason, Election Management System and ballot tabulator limitations define the boundaries and capabilities of the ExpressVote system as the maximum capacities of the ES&S ExpressVote are never approached during testing.

Election Reporting Manager (ERM)

1. ERM requires a minimum monitor screen resolution of 800x600.
2. ERM Database Create allows 1600 Precincts per Ballot Style.
3. There is a limit of 3510 precincts in the precincts counted/not counted display.
4. There is a limit of 3000 precincts in the precincts counted/not counted scrolling display.
5. Contest/Precinct selection pop up display limited to 3000 contests/precincts.
6. Non-English characters are not supported in ERM. This has to do with the creation of the XML results file out of ERM.
7. ERM's maximum page size for reports is 5,000 pages.

1.5.3 Supported Languages

The following languages are supported by the EVS 5.4.1.0:

- English
- Spanish
- Chinese
- Korean
- Japanese
- Hindi

Support for all stated languages will be verified; however, only English and Spanish language ballots will be cast during the performance of functional testing. Additionally, one character based language (Chinese) will be tested during System Integration Testing.

1.5.4 Supported Functionality

The EVS 5.4.1.0 is designed to support the following voting variations:

- General Election
- Closed Primary
- Open Primary
- Early Voting
- Partisan/Non-Partisan Offices
- Write-In Voting

- Split Precincts
- Vote for N of M
- Ballot Rotation
- Provisional or Challenged Ballots
- Ranked Order Voting

1.5.5 VVSG

The EVS 5.4.1.0 shall be evaluated against the relevant requirements contained in the EAC VVSG 1.0.

1.5.6 RFIs

There are no RFIs released by the EAC as of the date of this Test Plan that pertain to this test campaign that were not in effect at the time of the baseline system certification.

1.5.7 NOCs

There are no NOCs released by the EAC as of the date of this Test Plan that pertain to this test campaign that were not in effect at the time of the baseline system certification.

2.0 PRE-CERTIFICATION TESTING AND ISSUES

This section describes previous testing performed prior to submitting the voting system to the EAC.

2.1 Evaluation of Prior VSTL Testing

Pro V&V evaluated to the published Final Test Report for the EVS 5.4.0.0 in order to baseline the current system under test.

2.2 Evaluation of Prior Non-VSTL Testing

No prior non-VSTL testing of the EVS 5.4.1.0 modifications were considered for this test campaign.

2.3 Known Field Issues

EVS 5.4.1.0 is a modification to a previously certified system and has not been fielded.

3.0 MATERIALS REQUIRED FOR TESTING

The following sections list all materials needed to enable the test engagement to occur.

The materials required for testing of the EVS 5.4.1.0 include all materials to enable the test campaign to occur. This includes the applicable hardware and software as well as the TDP, test support materials, and deliverable materials, as described in the following subsections.

3.1 Software

This subsection lists the proprietary and COTS software to be provided by the manufacturer as part of the test campaign.

All software required for testing is identified in Section 1.1 of this test plan. Pro V&V will perform a comparison on the submitted source code against the previously certified versions. Pro V&V will review the submitted modified source code to the EAC VVSG 1.0 and the manufacturer-submitted coding standards.

3.2 Equipment

This subsection lists the proprietary and COTS equipment to be provided by the manufacturer as part of the test campaign.

For COTS equipment, every effort will be made to verify that the COTS equipment has not been modified for use. This will be accomplished by performing research using the COTS equipment manufacturer's websites based on the serial numbers and service tag numbers for each piece of equipment. Assigned test personnel will evaluate COTS hardware, system software and communications components for proven performance in commercial applications other than voting. For PCs, laptops, and servers, the service tag information will be compared to the system information found on each machine. Physical external and internal examination will also be performed when the equipment is easily accessible without the possibility of damage. Hard drives, RAM memory, and other components will be examined to verify that the components match the information found on the COTS equipment manufacturer's websites.

All hardware required for testing is identified in Section 1.1 of this test plan.

3.3 Test Materials

This subsection lists the test materials required to execute the required tests throughout the test campaign.

- Ballot on Demand Printer (OKI Data C9650)
- ExpressVote Activation Card Printer (Microcom 4200)
- QR Code Scanner (Zebra DS9208), (DS457-SR20009)
- Security Seals/Locks/Sleeves

- CF Card Reader/Writer
- Headphone Covers
- Ethernet Switch
- Printer Paper
- Ballots and blank ballot grade paper
- Activation cards
- Ballot pens
- CF memory cards
- USB flash drives

3.4 Proprietary Data

All data and documentation considered by the manufacturer to be proprietary will be identified and documented in an independent submission along with a Notice of Protected Information.

4.0 TEST SPECIFICATIONS

Certification testing of EVS 5.4.1.0 submitted for evaluation will be performed to ensure the applicable requirements of the EAC VVSG 1.0 and the EAC Testing and Certification Program Manual, Version 2.0 are met. Additionally, all EAC Request for Interpretations (RFI) and Notices of Clarification (NOC) relevant to the system under test will be incorporated in the test campaign. A complete listing of the EAC RFIs and NOCs is available on the EAC website.

4.1 Requirements (Strategy of Evaluation)

To evaluate the EVS 5.4.1.0 test requirements, the submitted modifications were evaluated against each section of the EAC VVSG 1.0 to determine the applicable tests to be performed. Based on this assessment, it was determined the following evaluations would be required to verify compliance of the modifications:

Section 1: Technical Documentation Package (TDP) Review

A TDP Review will be performed to ensure that all submitted modifications are accurately documented and that the documents meet the requirements of the EAC VVSG 1.0. The preliminary TDP is performed to gather information concerning the system under test and its capabilities or design intentions. Additionally, a TDP review will be performed throughout the test campaign. The TDP Review includes the Initial Review, the Regulatory/Compliance Review, and the Final Review. This review is conducted to determine if the submitted technical documentation meets the regulatory, customer-stated, or end-user requirements and includes reviewing the documents for stated functionality and verification.

Section 2: Functional Requirements

The requirements in this section shall be tested during the FCA, Accuracy Test, and System Integration Test. This evaluation will utilize baseline test cases as well as specifically designed test cases and will include predefined election definitions for the input data.

The FCA targets the specific functionality claimed by the manufacturer to ensure the product functions as documented. This testing uses both positive and negative test data to test the robustness of the system. The FCA encompasses an examination of manufacturer tests, and the conduct of additional tests, to verify that the system hardware and software perform all the functions described in the manufacturer's documentation submitted in the TDP (such as system operations, voter manual, maintenance, and diagnostic testing manuals). It includes a test of system operations in the sequence in which they would normally be performed. These system operations and functional capabilities are categorized as follows by the phase of election activity in which they are required:

- Overall System Capabilities: These functional capabilities apply throughout the election process. They include security, accuracy, integrity, system audit ability, election management system, vote tabulation, ballot counters, telecommunications, and data retention.
- Pre-voting Capabilities: These functional capabilities are used to prepare the voting system for voting. They include ballot preparation, the preparation of election-specific software (including firmware), the production of ballots, the installation of ballots and ballot counting software (including firmware), and system and equipment tests.
- Voting System Capabilities: These functional capabilities include all operations conducted at the polling place by voters and officials including the generation of status messages.
- Post-voting Capabilities: These functional capabilities apply after all votes have been cast. They include closing the polling place; obtaining reports by voting machine, polling place, and precinct; obtaining consolidated reports; and obtaining reports of audit trails.
- Maintenance, Transportation and Storage Capabilities: These capabilities are necessary to maintain, transport, and store voting system equipment.

The system integration testing addresses the integration of the hardware and software. This testing focuses on the compatibility of the voting system software components and subsystems with one another and with other components of the voting system. During test performance, the system is configured as would be for normal field use.

The accuracy test ensures that each component of the voting system can each process 1,549,703 consecutive ballot positions correctly within the allowable target error rate. The Accuracy test is designed to test the ability of the system to "capture, record, store, consolidate and report" specific selections and absences of a selection. The required accuracy is defined as an error rate. This rate is the maximum number of errors allowed while processing a specified volume of data.

Section 3: Usability and Accessibility Requirements

The requirements in this section shall be tested during the Usability and Accessibility Testing. This evaluation will utilize baseline test cases as well as specifically designed test cases and will include predefined election definitions for the input data.

The usability testing focuses on the usability of the system being tested. Usability is defined generally as a measure of the effectiveness, efficiency, and satisfaction achieved by a specified set of users with a given product in the performance of specified tasks. In the context of voting, the primary user is the voter, the product is the voting system, and the task is the correct recording of the voter ballot selections. Additional requirements for task performance are independence and privacy: the voter should normally be able to complete the voting task without assistance from others, and the voter selections should be private. Accessibility evaluates the requirements for accessibility. These requirements are intended to address HAVA 301 (a) (3) (B).

Section 4: Hardware Requirements

The hardware tests specified in the VVSG are divided into two categories: non-operating and operating. The non-operating tests apply to the elements of the system that are intended for use at poll site locations and are intended to simulate the storage and transport of equipment between the storage facility and the polling location. The operating tests apply to the entire system, including hardware components that are used as part of the voting system telecommunications capability, and are intended to simulate conditions that the voting system may encounter during operation. Prior to and immediately following each required non-operating and operating test, the system shall be subjected to an operational status check.

The requirements in this section shall be tested and/or evaluated by personnel verified by Pro V&V to be qualified to perform the testing.

Section 5: Software Requirements

The requirements in this section shall be tested utilizing a combination of review and functional testing during the source code review, TDP review, and FCA.

To perform the source code review, Pro V&V will review the submitted source code to the EAC VVSG 1.0 and the manufacturer-submitted coding standards. Prior to initiating the software review, Pro V&V shall verify that the submitted documentation is sufficient to enable: (1) a review of the source code and (2) Pro V&V to design and conduct tests at every level of the software structure to verify that design specifications and performance guidelines are met. The source code review includes a compliance build and a trusted build of the submitted source code.

4.1.1 Rationale for 'Not Applicable' Requirements

All requirements that were excluded from the previous test campaign (EVS 5.4.0.0) were also deemed not applicable to this test campaign due to the submitted modifications not impacting the specific requirements.

4.2 Hardware Configuration and Design

The EVS 5.4.1.0 is an electronic voting system consisting of the following hardware: ExpressVote hardware 2.1, AutoMARK, DS200, and DS850.

4.3 Software System Functions

The EVS 5.4.1.0 EMS is an application suite consisting of Electionware, ERM, RMS, ELS, ExpressVote Previewer, and VAT Previewer.

4.4 Test Case Design

Test cases are designed based on the manufacturer's design specifications and the relevant technical requirements set forth by the VVSG. Test cases shall be based on the following aspects of the voting system:

- Hardware qualitative examination design
- Hardware environmental test case design
- Software module test case design and data
- Software functional test case design
- System level test case design

Test cases shall provide information regarding the sequence of actions to be performed for the execution of a test, the requirements being met, the test objective, test configuration, equipment needed, special requirements, assumptions, and pass/fail criteria. Once the test cases are finalized, they will be validated and published for use in the test campaign. The validation of the test case will be accomplished by technical review and approval. This validation will include the following: confirmation of adequate test coverage of all requirements; confirmation that test case results are not ambiguous and gave objective pass/fail criteria; and confirmation that any automated test suites will produce valid results.

4.4.1 Hardware Qualitative Design

The updates to the modified system will require the full suite of hardware testing to include both environmental and electrical testing as detailed in the EAC VVSG 1.0. This determination was based on the following changes to the ExpressVote:

- Motherboard update - The Eurotech TC RL will replace the RG model.
- Display update - implement AUO displays
- IOB and PMB respin - replace "cuts & jumpers" introduced to address ESD susceptibility with identical permanent changes to boards

Based on the modifications to the ExpressVote the following hardware tests shall be performed:

Electrical Tests:

- Electrical Power Disturbance
- Electromagnetic Radiation
- Electrostatic Disruption
- Electromagnetic Susceptibility
- Electrical Fast Transient
- Lightning Surge
- Conducted RF Immunity
- Magnetic Fields Immunity
- Electrical Supply

Environmental Tests:

- Bench Handling
- Vibration
- Low Temperature
- High Temperature
- Humidity
- Temperature Power Variation
- Acoustic

4.4.2 Hardware Environmental Test Case Design

The voting system hardware shall be subjected to the tests specified in Section 4.4.1. Testing will be performed by personnel verified by Pro V&V to be qualified to perform the test. Pro V&V will utilize third-party test facilities (NTS Longmont facility located in Longmont, Colorado) for performance of the electrical and environmental tests. All pre and post operational status checks shall be conducted by Pro V&V personnel.

4.4.3 Software Module Test Case Design and Data

Pro V&V shall review the manufacturer's program analysis, documentation, and module test case design and shall evaluate the test cases for each module with respect to flow control parameters and entry/exit data. As needed, Pro V&V shall design additional test cases to satisfy the coverage criteria specified in Volume II, Section 7.2.1.

Component Level Testing will be implemented during the FCA for each component and subcomponent.

During the Source Code Review, Compliance Builds, and Security Testing, Pro V&V will utilize limited structural-based techniques (white-box testing). Additionally, specification-based techniques (black-box testing) will be utilized for the individual software components.

Pro V&V shall define the expected result for each test and the ACCEPT/REJECT criteria for certification. If the system performs as expected, the results will be accepted. If the system does not perform as expected, an analysis will be performed to determine the cause. The test will be repeated in an attempt to reproduce the results. If the failure can be reproduced and the expected results are not met, the system will have failed the test. If the results cannot be reproduced, the test will continue. All errors encountered will be documented and tracked through resolution.

4.4.4 Software Functional Test Case Design and Data

Pro V&V shall review the manufacturer-submitted test plans and data to verify that the individual performance requirements specified in the EAC VVSG 1.0 and the TDP are reflected in the software. As part of this process, Pro V&V shall review the manufacturer's test case design and prepare a detailed matrix of system functions and the test cases that exercise them. Pro V&V shall also prepare a test procedure describing all test ballots, operator procedures, and the data content of output reports. Pro V&V shall define abnormal input data and operator actions and then design test cases to verify that the system is able to handle and recover from these abnormal conditions. During this review, emphasis shall be placed on those functions where the manufacturer data on module development, such as the system release notes and comments within the source code, reflects significant debugging problems, and on functional tests that resulted in high error rates.

Pro V&V shall define the expected result for each test and the ACCEPT/REJECT criteria for certification. If the system performs as expected, the results will be accepted.

If the system does not perform as expected, an analysis will be performed to determine the cause. The test will be repeated in an attempt to reproduce the results. If the failure can be reproduced and the expected results are not met, the system will have failed the test. If the results cannot be reproduced, the test will continue. All errors encountered will be documented and tracked through resolution.

4.4.5 System-Level Test Case Design

System Level testing will be implemented to evaluate the complete system. This testing will include all proprietary components and COTS components (software, hardware, and peripherals) in a configuration of the system's intended use.

For software system tests, the tests shall be designed according to the stated design objective without consideration of its functional specification. The system level hardware and software test cases shall be prepared independently to assess the response of the hardware and software to a range of conditions.

4.5 Test Specifications

Descriptions of the tests required to evaluate the EVS 5.4.1.0 to the scope defined in Section 1.5 are provided in the subsections below.

4.5.1 TDP Evaluation

In order to determine compliance of the modified TDP documents with the EAC VVSG 1.0, a limited TDP review shall be conducted. This review will focus on TDP documents that have been modified since the certification of the baseline system. The review will consist of a compliance review to determine if each regulatory, state, or manufacturer-stated requirement has been met based on the context of each requirement. Results of the review of each document will be entered on the TDP Review Checklist and reported to the manufacturer for disposition of any anomalies. This process will be ongoing until all anomalies are resolved.

Any revised documents during the TDP review process will be compared with the previous document revision to determine changes made, and the document will be re-reviewed to determine whether subject requirements have been met.

A listing of all documents contained in the EVS 5.4.1.0 TDP is provided in Table 4-1.

Table 4-1. TDP Documents

Document ID	Description	Document Revision
<i>Preface</i>		
ESSSYS_5'4'1'0_L_RequirementsMatrix_QA	Requirements of the EAC VVSG 1.0 Trace to Vendor Testing	1.0
ESSSYS_5'4'1'0_L_RequirementsMatrix_TDP	Requirements of the EAC VVSG 1.0 Trace to Technical Data Package	1.0
<i>System Overview</i>		
ESSSYS_5'4'1'0_D_SYSOVER	ES&S Voting System 5.4.1.0 System Overview	1.0
<i>System Functionality Description</i>		
ESSSYS_5'4'1'0_D_SFD	ES&S Voting System 5.4.1.0 System Functionality Description	1.0
AQS-17-5001-001-R	AutoMARK(i) System Functionality	2
<i>System Hardware Specification</i>		
AQS-18-5000-001-F	AutoMARK System Hardware Specification	6
AQS-18-5002-000-S	AutoMARK System Hardware Overview	8
DS200_1'2_SPC_HWSPEC	DS200 Hardware Specification, Hardware Revision 1.2	3.5
DS200_1'3_SPC_HWSPEC	DS200 Hardware Specification, Hardware Revision 1.3	4.6

Table 4-1. TDP Documents (continued)

DS850_1'0_SPC_HWSPEC	DS850 Hardware Specification, Hardware Revision 1.0	1.7
EVOTE_2'1_SPC_HWSPEC	ExpressVote Hardware Specification, Hardware Revision 2.1	1.3
EVOTE_2'1_L_APL	Approved Parts List: ExpressVote HW 2.1	2.3
<i>Software Design and Specification</i>		
DS200_2'14'0'0_SDS	DS200 - Software Design Specification	1.3
DS850_2'11'0'0_SDS	DS850 – Software Design Specification	1.1
ELS_1'5'6'0_SDS	ES&S Software Design Specifications Event Log Service ES&S Voting System	1.2
ERM_8'13'0'0_SDS	ES&S Software Design Specifications Election Reporting Manager (ERM) ES&S Voting System	1.1
ERM_8'13'0'0_SDS_APPEN DICES	ES&S Software Design Specifications ERM Appendices ES&S Voting System	1.0
ESSSYS_1'0_P_CODINGST ANDARDS	Coding Standards	1.1
ESSSYS_1'0_P_SYSDEVPR OGRAM	System Development Program	1.3
EVOTE_2'1'1'0_SDS	ExpressVote - Software Design Specification	1.0
EWARE_4'8'1'0_SDS	Electionware – Software Design Specification	1.0
AQS-18-5002-003-S	AutoMARK Ballot Image Processing Specifications	6
AQS-18-5002-007-S	AutoMARK Ballot Scanning and Printing Specification	5
AQS-18-5000-002-F	AutoMARK Driver API Specification	5
AQS-18-5002-005-S	AutoMARK ESS Embedded Database Interface Specifications	5
AQS-18-5001-005-R	AutoMARK Graphical User Interface Design Specifications	6
AQS-18-5001-002-R	AutoMARK Operating Software (AMOS) Design Specifications	5
AQS-18-5002-004-S	AutoMARK Operations and Diagnostic Log Specifications	6
AQS-18-5001-011-R	AutoMARK Programming Specifications Details	5
AQS-18-5001-004-S	AutoMARK Software Design Specifications	6
---	Software Design and Specifications Overview AutoMARK Voter Assist Terminal (VAT)	1.8
AQS-18-5001-006-R	AutoMARK Software Development Environment Specifications	5
AQS-18-5000-004-F	AutoMARK Software Diagnostics Specification	5
AQS-18-4000-000-S	AutoMARK ESS Software Standards Specification	5

Table 4-1. TDP Documents (continued)

<i>System Test and Verification</i>		
ESSSYS_5'4'1'0_D_TESTPLAN	ES&S Voting System 5.4.1.0 System Test Plan	1.0
AMVAT_1'X_D_CIFRpt	Usability Test Report ES&S AutoMARK Voter Assist Terminal (VAT) Version 1.X	---
DS200_1'2'1_D_CIFRpt	Usability Test Report DS200 Precinct Ballot Scanner Version 1.2.1	---
EVOTE_1'0_D_CIFRpt	ExpressVote Usability Report ES&S Voting System 5.2.0.0	---
<i>System Security Specification</i>		
AQS-18-5002-001-S	AutoMARK System Security Specifications	7
ESSSYS_1'0_SPC_SYSTEM SECURITY_LOCAL	ES&S Voting System Security Specification	1.5
ESSSYS_5'4'1'0_SPC_CLIENTWORKSTATIONSETUP CONFIGGUIDE	ES&S Voting System 5.4.1.0 EMS Client Workstation Secure Setup & Configuration Guide	1.1
ESSSYS_5'4'1'0_SPC_EMSSERVERSETUPCONFIGGUIDE	ES&S Voting System 5.4.1.0 EMS Server Secure Setup & Configuration Guide	1.1
ESSSYS_5'4'1'0_SPC_SECURITY_SCRIPTDESCRIPTION	ES&S Voting System 5.4.1.0 Security Script Description	1.1
ESSSYS_5'4'1'0_SPC_STANDALONEWORKSTATIONSETUPCONFIGGUIDE	ES&S Voting System 5.4.1.0 Standalone EMS Workstation Secure Setup & Configuration Guide	1.1
AMVAT_1'8_L_ValFileList	Validation File List: AutoMARK	1.2
AMVATP_1'8_L_ValFileList	Validation File List: AutoMARK Previewer	1.2
DS200_2'14_L_ValFileList	Validation File List: DS200	1.1
DS850_2'11_L_ValFileList	Validation File List: DS850	1.1
ELS_1'5_L_ValFileList	Validation File List: Event Log Service	1.1
ERM_8'13_L_ValFileList	Validation File List: Election Reporting Manager	1.2
RMS_1'4_L_ValFileList	Validation File List: RMS	1.1
<i>System Operations Procedures</i>		
AMVAT_1'8'7'0_SOP	AutoMARK Operator's Guide, Firmware Version 1.8	1.3
DS200_2'14'0'0_SOP	DS200 Operator's Guide, Firmware Version 2.14	1.7
DS200_2'14'0'0_SOP_Appendices	DS200 Operator's Guide Appendices, Firmware Version 2.14	1.0
DS850_2'11'0'0_SOP	DS850 Operator's Guide, Firmware Version 2.11	1.7
DS850_2'11'0'0_SOP_Appendices	DS850 Operator's Guide Appendices, Firmware Version 2.11	1.0

Table 4-1. TDP Documents *(continued)*

ELS_1'5'6'0_SOP	EVS Event Logging Service User's Guide, Software Version 1.5	1.2
ERM_8'13'0'0_SOP	Election Reporting Manager User's Guide, Software Version 8.13	1.6
ERM_8'13'0'0_SOP_APPX	Election Reporting Manager User's Guide Appendices, Software Version	1.2
EVOTE_2'1'1'0_SOP	ExpressVote Operator's Guide, Firmware Version 2.1	1.0
EVOTE_2'1'1'0_SOP_Appendices	ExpressVote Operator's Guide Appendices, Firmware Version 2.1	1.0
EWARE_4'8'1'0_SOP_01Admin	Electionware Vol. I: Administrator Guide, Software Version 4.8	1.0
EWARE_4'8'1'0_SOP_02Define	Electionware Vol. II: Define User Guide, Software Version 4.8	1.0
EWARE_4'8'1'0_SOP_03Design	Electionware Vol. III: Design User Guide, Software Version 4.8	1.0
EWARE_4'8'1'0_SOP_04Deliver	Electionware Vol. IV: Deliver User Guide, Software Version 4.8	1.0
EWARE_4'8'1'0_SOP_05Results	Electionware Vol. V: Results User Guide, Firmware Version 4.8	1.0
EWARE_4'8'1'0_SOP_Appendices	Electionware Vol. VI: Appendices, Firmware Version 4.8	1.0
<i>System Maintenance Manuals</i>		
AMVAT_1'8'7'0_SMM	AutoMARK Maintenance Manual, Firmware Version 1.8	1.3
DS200_2'14'0'0_SMM	DS200 Maintenance Manual, Firmware Version 2.14	1.3
DS850_2'11'0'0_SMM	DS850 Maintenance Manual, Firmware Version 2.11	1.3
EVOTE_2'1'1'0_SMM	ExpressVote Maintenance Manual, Firmware Version 2.1	1.0
<i>Personnel Deployment and Training</i>		
ESSSYS_1'0_P_TRAININGPROGRAM	Personnel Deployment and Training Program	1.0
<i>Configuration Management Plan</i>		
ESSSYS_1'0_P_CMPROGRAM	Configuration Management Program	1.1
ESSSYS_1'0_P_TDPROGRAM	Technical Documentation Program	1.1
<i>QA Program</i>		
ESSSYS_5'4'1'0_P_MNFQA PROGRAM	Manufacturing Quality Assurance Program	1.0
ESSSYS_5'4'1'0_P_SWQAP PROGRAM	Software Quality Assurance Program	1.0

Table 4-1. TDP Documents *(continued)*

<i>System Change Notes</i>		
ESSSYS_5'4'1'0_D_CHANG ENOTES	ES&S Voting System 5.4.1.0 System Change Notes	1.0
<i>Attachments</i>		
BPG_1'0_SOP	Ballot Production Guide for EVS	3.0

4.5.2 Source Code Review

Pro V&V will review the submitted source code to the EAC VVSG 1.0 and the manufacturer-submitted coding standards. Prior to initiating the software review, Pro V&V shall verify that the submitted documentation is sufficient to enable: (1) a review of the source code and (2) Pro V&V to design and conduct tests at every level of the software structure to verify that design specifications and performance guidelines are met.

A combination of Automated Source Code Review and Manual Source Code Review methods will be used to review the changes in the source code from the previously certified EVS 5.4.0.0 voting system. In addition, 10% of the source code comments will be manually reviewed.

4.5.3 Physical Configuration Audit (PCA)

The Physical Configuration Audit (PCA) compares the voting system components submitted for qualification to the manufacturer's technical documentation, and shall include the following activities:

- Establish a configuration baseline of software and hardware to be tested; confirm whether manufacturer's documentation is sufficient for the user to install, validate, operate, and maintain the voting system
- Verify software conforms to the manufacturer's specifications; inspect all records of manufacturer's release control system; if changes have been made to the baseline version, verify manufacturer's engineering and test data are for the software version submitted for certification
- If the hardware is non-COTS, Pro V&V shall review drawings, specifications, technical data, and test data associated with system hardware to establish system hardware baseline associated with software baseline
- Review manufacturer's documents of user acceptance test procedures and data against system's functional specifications; resolve any discrepancy or inadequacy in manufacturer's plan or data prior to beginning system integration functional and performance tests
- Subsequent changes to baseline software configuration made during testing, as well as system hardware changes that may produce a change in software operation are subject to re-examination

4.5.4 Functional Configuration Audit (FCA)

The Functional Configuration Audit (FCA) encompasses an examination of manufacturer's tests, and the conduct of additional tests, to verify that the system hardware and software perform all the functions described in the manufacturer's documentation submitted in the TDP.

In addition to functioning according to the manufacturer's documentation, tests will be conducted to ensure all applicable EAC VVSG 1.0 requirements are met.

4.5.5 Accuracy

The Accuracy test ensures that each component of the voting system can each process 1,549,703 consecutive ballot positions correctly within the allowable target error rate. The Accuracy test is designed to test the ability of the system to "capture, record, store, consolidate and report" specific selections and absences of a selection. The required accuracy is defined as an error rate. This rate is the maximum number of errors allowed while processing a specified volume of data. For paper-based voting systems, the ballot positions on a paper ballot must be scanned to detect selections for individual candidates and contests and the conversion of those selections detected on the paper ballot converted into digital data.

In an effort to achieve this and to verify the proper functionality of the units under test, the following methods will be used to test components of the voting system:

The accuracy requirements for the DS200, DS850, and the ExpressVote will be met by the execution of the standard accuracy test utilizing pre-marked ballots of each ballot length supported, along with a portion of ballots produced from the AutoMARK to be scanned in the DS200 and DS850.

The DS200 and DS850 will be tested by utilizing a combination of hand marked (70%) and pre-marked (30%) ballots to achieve accuracy rate greater than 1,549,703 correct ballot positions.

4.5.6 System Integration

System Level test for the integrated operation of both hardware and software.

Compatibility of the voting system software components or subsystems with one another, and with other components of the voting system environment, shall be determined through functional tests integrating the voting system software with the remainder of the system.

Additionally, the system shall be configured exactly as it would for normal field use. This includes connecting all supporting equipment and peripherals including ballot boxes, voting booths (regular and accessible), and any physical security equipment such as locks and ties.

Pro V&V personnel shall properly configure and test the system by following the procedures detailed in the EVS 5.4.1.0 technical documentation.

4.5.7 Hardware Testing

The EVS 5.4.1.0 will be subjected to the hardware tests listed below:

Electrical Tests:

- Electrical Power Disturbance

This test demonstrates the ability of the system to be able to withstand the following conditions without disruption of normal operation or loss of data:

- a. Surges of 30% dip @ 10 ms;
- b. Surges of 60% dip @ 100 ms & 1 sec;
- c. Surges of >95% interrupt @ 5 sec;
- d. Surges of $\pm 15\%$ line variations of nominal line voltage
- e. Electric power increases of 7.5% and reductions of 12.5% of nominal specified power supply for a period of up to four hours at each power level.

- Electromagnetic Radiation

This test demonstrates the ability of the system to comply with the Rules and Regulations of the Federal Communications Commission, Part 15, Class B requirements for both radiated and conducted emissions.

- Electrostatic Disruption

This test demonstrates the ability of the system to be able to withstand, without damage or loss of data, ± 15 kV air discharge and ± 8 kV contact discharge. The equipment may reset or have momentary interruption so long as normal operation is resumed with human intervention or loss of data (votes that have been completed and confirmed to the voter).

- Electromagnetic Susceptibility

This test demonstrates the ability of the system to be able to withstand, without disruption of normal operation or loss of data, an electromagnetic field of 10 V/m modulated by a 1 kHz 80% AM modulation over the frequency range of 80 MHz to 1000 MHz.

- Electrical Fast Transient

This test demonstrates the ability of the system to be able to withstand, without disruption of normal operation or loss of data, electrical fast transients of:

- a. +2 kV and -2kV on External Power lines (both AC and DC)
- b. +1 kV and -1 kV on Input/Output lines (signal, data, and control lines) longer than 3 meters
- c. Repetition Rate for all transient pulses will be 100 kHz

- Lightning Surge

This test demonstrates the ability of the system to be able to withstand, without damage or loss of data, surges of:

- a. ± 2 kV AC line to line
- b. ± 2 kV AC line to earth
- c. $\pm .5$ kV DC line to line >10 m
- d. $\pm .5$ kV DC line to earth >10 m
- e. ± 1 kV I/O signal/control >30 m

- Conducted RF Immunity

This test demonstrates the ability of the system to be able to withstand, without disruption of normal operation or loss of data, conducted RF Immunity of:

- a. 10V rms over the frequency range 150 KHz to 80 MHz with an 80% amplitude modulation with a 1 KHz sine wave AC & DC power
- b. 10V sig/control >3 m over the frequency range 150 KHz to 80 MHz with an 80% amplitude modulation with a 1 KHz sine wave

- Magnetic Fields Immunity

This test demonstrates the ability of the system to be able to withstand, without disruption of normal operation or loss of data, AC magnetic fields of 30 A/m at 60 Hz.

- Electrical Supply

This test demonstrates the ability of the system to meet the following standards:

- a. Precinct count voting systems shall operate with the electrical supply ordinarily found in polling places (nominal 120 Vac/60Hz/1 phase)
- b. Central count voting systems shall operate with the electrical supply ordinarily found in central tabulation facilities or computer room facilities (nominal 120 Vac/60Hz/1 phase, nominal 208 Vac/60 Hz/3 phase or nominal 240 Vac/60Hz/2 phase)
- c. All voting machines shall also be capable of operating for a period of at least 2 hours on backup power, such that no voting data is lost or corrupted nor normal operations interrupted. When backup power is exhausted, the voting machine shall retain the contents of all memories intact.

Note: Per the EAC Decision on Request for Interpretation 2008-06 (which amends RFI 2008-02), Central Count systems are not required to have a 2-hour battery backup. A

central count system shall provide for a graceful shutdown to allow switching to an alternate power source. The graceful shutdown shall meet the following requirements:

- 1. All ballots shall reside in either the input or output hopper with no ballots in process at the end of the shutdown process.*
- 2. All ballots in the output hopper shall be fully read and saved.*
- 3. A report, including the final state of all ballots, timestamps and of the final state of the unit, shall be printed or saved in a file. The report shall be part of the permanent election record and shall be available when power is restored to the system.*
- 4. The system shall be capable of resuming operation from the point it stopped once power is restored.*

Testing for the graceful shutdown shall maintain ballots in the input hopper through the shutdown process. The purpose of this requirement is to confirm that the system will stop processing further ballots, complete ballots in process and save a report that accurately identifies the final state of the ballots and the system. The second part of the test shall restore power to the system and confirm that the system restarts properly and that the status report reflects accurately the state of the ballots and the system.

Environmental Tests:

- **Bench Handling**

This test simulates stresses faced during maintenance and repair of voting machines and ballot counters. This test is equivalent to the procedure of MIL-STD-810D, Method 516.3, Procedure VI (six 4" drops on each edge for a total of 24 drops).

- **Vibration**

This test simulates stresses faced during transport of voting machines and ballot counters between storage facilities and polling places. This test is equivalent to the procedure of MIL-STD-810D, Method 514.3, Category 1 – Basic Transportation, Common Carrier (30 minutes of vibration in each axis for a total of 90 minutes).

- **Low Temperature**

This test simulates stresses faced during storage of voting machines and ballot counters. This test is equivalent to the procedure of MIL-STD-810D, Method 502.2, Procedure I - Storage (minimum temperature of -4 degrees F maintained for four hours).

- **High Temperature**

This test simulates stresses faced during storage of voting machines and ballot counters. This test is equivalent to the procedure of MIL-STD-810D, Method 501.2, Procedure I - Storage (maximum temperature of 140 degrees F maintained for four hours).

- Humidity

This test simulates stresses faced during storage of voting machines and ballot counters. This test is similar to the procedure of MIL-STD-810D, Method 507.2, Procedure I – Natural Hot-Humid. The intention of this test is to evaluate the ability of the equipment to survive exposure to an uncontrolled temperature and humidity environment during storage (ten 24-hour humidity cycles).

- Temperature Power Variation

This test simulates stresses faced during maintenance and repair of voting machines and ballot counters. This test is similar to the low and high temperature tests of MIL-STD-810D, Methods 502.2 and 501.2, with test conditions that correspond to the requirements of the performance standards. This procedure tests system operation under various environmental conditions for at least 163 hours. During 48 hours of the operating time, the equipment shall be in a test chamber under imposed test conditions. For the remaining hours, the equipment shall be operated at room temperature. The system shall be powered for the entire period of this test; the power may be disconnected if necessary for removal of the system from the test chamber. Operation shall consist of ballot-counting cycles, which vary by system type, as outlined below:

Precinct count systems: 100 ballots/hour

Central count systems: 300 ballots/hour

5.0 TEST DATA

The following subsections provide information concerning test data recording, criteria, and reduction.

5.1 Test Data Recording

All equipment utilized for test data recording shall be identified in the test data package. The output test data shall be recorded in an appropriate manner as to allow for data analysis. For source code and TDP reviews, results shall be compiled in reports and submitted to ES&S for resolution.

5.2 Test Data Criteria

The EVS 5.4.1.0 shall be evaluated against all applicable requirements contained in the EAC VVSG 1.0. The acceptable range for system performance and the expected results for each test case shall be derived from the manufacturer-submitted technical documentation and the EAC VVSG 1.0.

6.0 TEST PROCEDURE AND CONDITIONS

The following subsections detail the facility requirements, test setup conditions, and sequence of testing.

6.1 Facility Requirements

Unless otherwise annotated, all testing shall be conducted at the Pro V&V test facility located in Huntsville, AL, by personnel verified by Pro V&V to be qualified to perform the test.

Unless otherwise specified herein, testing shall be performed at the following standard ambient conditions and tolerances:

- Temperature: 68-75° F ($\pm 3.6^{\circ}\text{F}$)
- Relative Humidity: Local Site Humidity
- Atmospheric Pressure: Local Site Pressure
- Time Allowable Tolerance: $\pm 5\%$

Testing performed at third-party laboratories will be subjected to the test parameters and tolerances defined by the test facility and will be reported in the final Test Report.

6.2 Test Set-up

All voting system equipment shall be received and documented using Pro V&V proper QA procedures. Upon receipt of all hardware, an inspection will be performed to verify that the equipment received is free from obvious signs of damage and/or degradation that may have occurred during transit. If present, this damage shall be recorded, photographed, and reported to the ES&S Representative. Additionally, a comparison shall be made between the recorded serial numbers/part numbers and those listed on shipper's manifest and any discrepancies shall be reported to the ES&S Representative. TDP items and all source code received shall be inventoried and maintained by Pro V&V during the test campaign.

During test performance, the system shall be configured as it would be for normal field use. This includes connecting all supporting equipment and peripherals.

6.3 Test Sequence

The EVS 5.4.1.0 will be evaluated against all applicable requirements in the EAC VVSG 1.0. There is no required sequence for test performance.

6.4 Test Operations Procedure

Pro V&V will identify PASS/FAIL criteria for each executed test case. The PASS/FAIL criteria will be based on the specific expected results of the system. In the case of an unexpected result that deviates from what is considered standard, normal, or expected, a root cause analysis will be performed.

Pro V&V will evaluate every EAC VVSG 1.0 requirement applicable to the EVS 5.4.1.0. Any deficiencies noted will be reported to the EAC and the manufacturer. If it is determined that there is insufficient data to determine compliance, this Test Plan will be altered and additional testing will be performed.

APPENDIX A
PROJECT SCHEDULE

Task Name	Start Date	End Date	Assigned To	Duration	Predecessors	Status
TDP	03/08/18	04/26/18		33d		In Progress
Initial Review	03/08/18	03/12/18	Alan Simmons	3d		In Progress
Compliance Review	03/13/18	04/20/18	Alan Simmons	26d	3	In Progress
Final review	04/23/18	04/26/18	Alan Simmons	4d	4	Not Started
Test Plan	03/15/18	05/22/18		46d		In Progress
Test Plan Creation	03/15/18	04/02/18	Wendy Owens	10d		Complete
Vendor Review & Comments	04/03/18	04/05/18	Wendy Owens	3d	7	Complete
EAC Submission and Review	04/06/18	05/03/18	Wendy Owens	20d	8	Not Started
EAC Comment Review & Update	05/04/18	05/07/18	Wendy Owens	2d	9	Not Started
EAC Submission & Review of Revision	05/08/18	05/21/18	Wendy Owens	10d	10	Not Started
EAC Approved Test Plan	05/22/18	05/22/18	Wendy Owens	1d	11	Not Started
Source Code	03/19/18	03/26/18		3d		Not Started
Automated Review	03/19/18	03/19/18	Jack Cobb	1d		Complete
Source Code Review	03/19/18	03/19/18	Jack Cobb	1d		Complete
Source Code Re-Review	03/20/18	03/20/18	Jack Cobb	1d	15	Complete
Document Review	03/19/18	03/19/18	Jack Cobb	1d		Complete
Compliance Build	03/20/18	03/26/18	Jack Cobb	2d	17	Complete
System Delivery & Setup	03/05/18	04/06/18		22d		Not Started
PCA	04/02/18	04/02/18	Stephen Han	1d		Complete
System Setup	04/03/18	04/03/18	Stephen Han	1d	20	Complete
System Loads & Hardening	04/04/18	04/05/18	Stephen Han	2d	21	In Progress
Hardware Testing	03/29/18	03/29/18		1d		In Progress
Electrical Testing	03/05/18	03/26/18	Michael Walker	13d		Complete
Environmental Testing	03/05/18	03/26/18	Michael Walker	13d		Complete
Temp Power (85 hours)	03/26/18	03/30/18	Michael Walker	5d		Complete
Electrical Supply	04/06/18	04/06/18	Michael Walker	1d	22	Not Started
System Level Testing	04/09/18	04/27/18		15d		Not Started
FCA	04/09/18	04/10/18	Stephen Han	2d	27	Not Started
Usability	04/11/18	04/11/18	Stephen Han	1d	29	Not Started
Accessibility	04/12/18	04/13/18	Stephen Han	2d	30	Not Started
Accuracy	04/16/18	04/17/18	Stephen Han	2d	31	Not Started
Trusted Build	04/18/18	04/19/18	Jack Cobb	2d	32	Not Started
System Loads & Hardening	04/20/18	04/23/18	Stephen Han	2d	33	Not Started
Regression Testing	04/24/18	04/24/18	Stephen Han	1d	34	Not Started
System Integration	04/25/18	04/27/18	Stephen Han	3d	35	Not Started
Test Report	04/30/18	07/04/18		48d		Not Started
Test Report Creation	04/30/18	05/17/18	Wendy Owens	14d	36	Not Started
Vendor Review & Comments	05/18/18	05/18/18	Wendy Owens	1d	38	Not Started
EAC Submission & Review	05/21/18	06/15/18	Wendy Owens	20d	39	Not Started
EAC Comment Review & Update	06/18/18	06/19/18	Wendy Owens	2d	40	Not Started
EAC Submission & Review of Revision	06/20/18	07/03/18	Wendy Owens	10d	41	Not Started
EAC Approved Test Report	07/04/18	07/04/18	Wendy Owens	1d	42	Not Started



Ballot Image Information on ES&S Systems – issued: 11/1/18

Florida customers utilize the DS200 and DS450/DS850 digital scanners manufactured by ES&S to count and tabulate Vote by Mail paper ballots, provisional paper ballots, and any paper ballots cast by voters at Early Vote Centers and individual polling sites on Election Day. In the State of Florida, customers can choose three different image storage options during the election programming process. These options are: save no images, save write-in images only, or save all images.

The following process takes place when feeding ballots into a DS200 precinct tabulator. First, the paper ballot is scanned, and an image is temporarily captured into random access memory (RAM). The scanner then uses ES&S's patented Intelligent Mark Recognition (IMR) and Positive Target Recognition and Compensation (PTAC) technology to provide the most advanced and accurate mark recognition available. Once the voter's marks are identified and stored, the DS200 either writes the ballot image in RAM to the internal USB media or clears the image from the DS200's RAM depending on the configuration. If the image is written to the internal USB media, the image file is also digitally signed for added security. At the close of polls, all image files are encrypted and resigned before the USB media is removed from each DS200.

For the DS200, no changes can be made to the image capture settings without making changes in the election programming software and reburning all media.

For the DS450/DS850, image settings can be changed through the configuration menu on the scanner, however, this requires a change in local County procedures and settings.

Specific ballot image capture and retention capabilities for Florida hardware and software versions are outlined below:

EVS releases allow the Electionware user to specify which ballot images are to be saved on the DS200 and Central Scanners (DS450/DS850):

1. All images
2. Write-In Images Only
3. No images

Election Reporting Manager (ERM) is used to archive the DS200/DS450/DS850 media, and Electionware will contain and be able to display and export all cast vote records and those ballot images as designated by the user.

In Unity releases that support the DS200, Hardware Programming Manager allows the user to specify which ballot images are to be saved by the DS200:

1. Save All Ballot images
2. Save Only Ballot images with write-ins
3. Do Not Save Any Ballot Images

When DS200 media is read into ERM and the Collect Ballot Images process is completed, if All images or Only images with write-ins are designated to be saved by the user, only ballot images with write-ins are converted to Windows Bitmap format and consolidated by the ERM Database to allow easier write-in management. All images saved by the DS200 are available to be exported directly from each DS200 USB media using jurisdiction developed manual procedures and tools. The consolidated write-in images can also be viewed using a third-party COTS tool such as IrfanView.

ES&S' best practices recommendation is that full logic and accuracy testing be conducted when any changes are made to the election database, and/or settings on the voting system.

STATE OF FLORIDA

Affidavit of Susan Pynchon, Plaintiff in action for declaratory and injunctive relief to preserve digital ballot images.

I, Susan Pynchon, swear and affirm as follows:

1. I reside at 498 DeSoto Avenue, DeLeon Springs, Florida 32130.
2. I am registered to vote in Volusia County in the 6th Congressional District.
3. I serve as Director of the Florida Fair Elections Coalition.
4. I am initiating this action in order to preserve all digital ballot images and to require that state and local election officials comply with federal and state law to preserve all election materials, including ballot images, related to the 2018 general election in Florida and for all Florida elections thereafter.
5. According to information and belief, it is the practice and intention of Florida state election officials to permit the deletion and destruction of digital ballot images, contrary to federal and state law.
6. In March, 2018, I met with Volusia County Supervisor of Elections Lisa Lewis. During our meeting we discussed the fact that Volusia County had not been preserving ballot images. In the course of our discussion, Supervisor Lewis committed to preserving all ballot images in future elections.
7. On Nov. 8, 2018, I filed records requests with 64 of Florida's 67 counties, specifically those counties that have digital scan voting systems, seeking digital copies of ballot images from the November 6, 2018 General Election.
8. As of the date of this Affidavit, I have not received responses from all 64 counties. Of the responses I have received, 16 counties saved all ballot images; 34 did **not** save all ballot images; and the remaining 14 counties are still unknown.
9. In follow-up conversations with the Supervisors of Elections or support staff in several counties, they indicated that they plan to save ballot images in the future. They said they had not saved ballot images for the 2018 elections because they had not been educated as to how to save them or had been unaware of the benefits of saving them, or that they had received my request too late to re-program the General Election to "save all" ballot images.
10. The Supervisors of Elections in other counties did not save all the ballot images and made it clear they do not plan to do so in the future. Others expressed some confusion as to what they should do and expressed the need to "check with the state."

11. As of the date of this Affidavit, 16 counties have responded that they **did** save all ballot images: Volusia, Sarasota, Manatee, Leon, Collier, Alachua, Walton, Columbia, Hendry, Dixie, Bay, Gilchrist, Hernando, Taylor, Bradford, and Wakulla counties.

12. As of the date of this Affidavit, 34 counties have responded that they did **not** save all ballot images or saved only write-in images. The counties are: Miami-Dade, Broward, Hillsborough, Orange, Pinellas, Duval, Lee, Brevard, Pasco, Marion, Lake, St. Lucie, St. Johns, Clay, Charlotte, Martin, Indian River, Citrus, Flagler, Monroe, Gadsden, Osceola, Okaloosa, Sumter, Franklin, Escambia, Santa Rosa, Suwanee, Seminole, Gulf, Calhoun, DeSoto, Hamilton and Polk counties.

13. Orange County erroneously claimed that it does not have digital scan voting machines, even though the county uses ES&S DS200 and DS850 digital scan voting machines that count the digital images (ballot images) rather than the paper ballots. The "DS" in DS200 means "data scan" or "digital scan."

14. On November 12, 2018, I spoke on the phone with Ken Carbullido, former Director of Development for Election Systems & Software (ES&S). Mr. Carbullido told me that he was "part of a team" that developed the ES&S digital scan voting system. I asked Mr. Carbullido if the system automatically creates ballot images and he responded, "Yes, of course it does. That's how the system works."

I declare under the penalty of perjury that the foregoing is true and accurate to the best of my knowledge.

12-14-2018
Date

Susan Pynchon
Susan Pynchon

State of Florida
County of Volusia

I, LEINYS DIFO, a Notary Public of the aforesaid county, hereby certify that Susan Pynchon personally appeared before me this day and having been duly sworn deposes and says that the facts set forth in the above affidavit are true and correct.

[Signature]
Notary Public

My commission expires:
SEPT / 9 / 2022

